



# NYSERDA

ANDREW M. CUOMO  
Governor

RICHARD L. KAUFFMAN  
Chair

JOHN B. RHODES  
President and CEO

June 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 October 1, 2016 through March 31, 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-june-nyserda-semi-annual-report.pdf>. If you have any questions on this information, please contact me.

Sincerely,

John B. Rhodes  
President and CEO

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## New York State Energy Research and Development Authority

**Albany**  
17 Columbia Circle, Albany, NY 12203-6399  
(P) 1-866-NYSERDA | (F) 518-862-1091  
nyserda.ny.gov | info@nyserda.ny.gov

**Buffalo**  
726 Exchange Street  
Suite 821  
Buffalo, NY  
14210-1484  
(P) 716-842-1522  
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**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

Revenues Collected - October 1, 2016 through March 31, 2017

<b>Revenue Source</b>	<b>Amount (\$000's)</b>
State Appropriation	7,619
Utility Surcharge Assessments	22,730
Clean Energy Standard Proceeds	1,563
Allowance Proceeds	36,792
Third-party reimbursements	6,683
Federal grants	2,620
Interest subsidy	243
Project repayments	254
Rentals from leases	705
Fees and other income	1,725
Loans and financing receivables interest	7,702
Investment income	2,078
<b>Total revenues</b>	<b>90,714</b>

NYSERDA  
Public Authority Law Report  
October 1, 2016 to March 31, 2017

Section Break

<b>Solicitation No.</b>	<b>Title of Solicitation</b>	<b>Solicitation Description</b>	<b>Issue Date</b>	<b>Due Date/Round #</b>	<b>Dollar Value</b>
<b>RFP 7</b>	<b>Construction &amp; Back-Leverage Financing for Ground-Mounted Solar Generation Systems Targeting Corporate &amp; Industrial End Users</b>	NY Green Bank's RFP 7 is targeted at developers of photovoltaic ("PV") solar projects selling to commercial, industrial and other institutional organizations ("C&I") in New York State which plan to utilize third-party tax equity and seek back-leveraged financing for projects that: (1) generate revenue by selling net metering credits to C&I power users under applicable laws, regulations or administrative proceedings; (2) use Tier-1 Technology; (3) are in the advanced stage of development; and (4) are ground-mounted, canopy-mounted and non-residential rooftop PV solar projects.	3/31/2017	12/30/2022	<i>No value was stated in the solicitation</i>
<b>RFP 8</b>	<b>Financing Arrangements for Renewable &amp; Energy Efficiency Projects: Office, Commercial &amp; Industrial, and Multi-Family Real Estate Properties</b>	NY Green Bank's RFP 8 is targeted at commercial and multi-family building owners, relevant lenders and investors, and clean energy contractors/service providers focused on such properties, who seek to finance the purchase of energy efficiency and/or renewable energy assets.	3/31/2017	12/30/2022	<i>No value was stated in the solicitation</i>
<b>PON 1601 Revised 1/9/2017</b>	<b>New Construction Program</b>	\$19,351,548 is available through PON1601Rev1 to offset a portion of the incremental capital costs to purchase and install energy-efficient equipment in these buildings to reduce energy consumption. Financial support is based on the anticipated building energy efficiency improvements. A Green Building Bonus is offered to encourage applicants to integrate green building practices through either Leadership in Energy and Environmental Design (LEED®) or New York Collaborative for High Performance Schools (NY-CHPS) certification.	1/6/2017	12/29/2017	<b>\$19,351,548</b>
<b>PON 2439 (Revised 3/27/17)</b>	<b>On-Site Wind Turbine Incentive Program</b>	NYSERDA announces the availability of approximately \$6 million in incentives to encourage the installation of end-use wind energy systems for residential, commercial, institutional or government use.	12/20/2016	12/31/2018	<b>\$6,000,000.00</b>
<b>PON 2568 (Revised 2/16/17)</b>	<b>CHP Program</b>	The Combined Heat and Power (CHP) Program provides incentives for the installation of CHP systems through PON 2568, which supports an accelerated procurement process where customers select from a set of pre-approved, pre-engineered CHP modules supplied by approved CHP Vendors (the Catalog Approach) or the more traditional design/build procurement process specifically for larger customers that are not adequately met by the Catalog Approach (the Custom Approach).	2/16/2017	12/31/2018	<b>\$82,000,000.00</b>

<b>Solicitation No.</b>	<b>Title of Solicitation</b>	<b>Solicitation Description</b>	<b>Issue Date</b>	<b>Due Date/Round #</b>	<b>Dollar Value</b>
<b><i>RFQL 3323</i></b>	<b><i>External Technical Review Assistance</i></b>	NYSERDA seeks highly qualified external technical reviewers and advisors to review proposals submitted to NYSERDA's various funding opportunities and to provide due diligence analysis and expertise for ongoing projects to help NYSERDA advance innovative energy solutions within four strategic focus areas: advanced buildings, transportation, renewable energy, and smart grids.	10/5/2016	7/16/2018	<i>No value was stated in the solicitation</i>
<b><i>RFP 3352</i></b>	<b><i>Industrial Strategic Energy Management: Implementation Contractor (Energy Coach)</i></b>	The New York State Energy Research and Development Authority (NYSERDA) requests proposals from contractors interested in providing program support services for the upcoming Industrial Strategic Energy Management (SEM) Pilot, including cohort training and market dissemination activities. NYSERDA is requesting proposals from contractors to serve as an Energy Coach for the three years of the Pilot to develop SEM training materials, guide participants through the SEM process and monthly cohort sessions, and provide technical support to assist participants in achieving key SEM milestones. NYSERDA anticipates awarding one contract through this RFP, although multiple awards may be made.	10/28/2016	12/19/2016	<i>No value was stated in the solicitation</i>
<b><i>RFP 3240</i></b>	<b><i>Residential Financing and Income Verification Services</i></b>	The New York State Energy Research and Development Authority ("NYSERDA") is seeking proposals from qualified financing companies ("Originator") to provide the following services for residential energy efficiency and renewable energy system improvements: (1) loan origination and underwriting services to New York State residents for fixed rate loans between \$1,500 and \$25,000 for terms of 5-, 10- or 15-years; (2) income eligibility verification for NYSERDA financing and incentive applications; and (3) payment of loan funds and incentive funds to participating contractors, to be reimbursed by NYSERDA. The contract term will be for three years with two (1) year extensions at NYSERDA's option. Additional time and funding may be added at NYSERDA's discretion.	10/21/2016	11/15/2016	<i>No value was stated in the solicitation</i>

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<b>RFP 3365</b>	<b>Private Cloud Hosting</b>	The New York State Energy Research and Development Authority (NYSERDA) is soliciting proposals from qualified contractors to provide private cloud hosting services. From among the Proposals received, NYSEDA intends to select a qualified vendor to provide hosting services related to NYSEDA's Information Systems infrastructure (hardware and software systems). The term of the agreement will be 3 years with an option to renew for up to 2 additional years at NYSEDA's discretion. NYSEDA reserves the right to add or reduce time and/or funding to awarded contracts.	10/13/2016	11/18/2016	<i>No value was stated in the solicitation</i>
<b>RFI 3396</b>	<b>MetOcean Campaign for the Proposed New York Wind Energy Area</b>	NYSERDA wishes to gather informed feedback and input on the draft MetOcean Plan available at: <a href="http://www.nyseda.ny.gov/offshore">www.nyseda.ny.gov/offshore</a> . NYSEDA's intention is to use this information to improve and revise the draft MetOcean Plan, and implement the final MetOcean Plan in 2017 to support and facilitate the development of the Wind Energy Area (WEA) identified by the Bureau of Ocean Energy Management (BOEM) south of Long Island's Rockaway Peninsula, off the Coast of New York. The draft MetOcean Plan was also developed to leverage this initial focus, allowing it to be expanded to other areas in the New York Ocean Planning Area.	11/15/2016	12/15/2016	<i>No value was stated in the solicitation</i>
<b>PON 3397</b>	<b>Electric Power Transmission and Distribution (EPTD): High Performing Grid Program</b>	The New York State Energy Research and Development Authority (NYSERDA) announces the availability of up to \$10 million in funds to support research and engineering studies, product development and demonstration projects that improve the resiliency, reliability, efficiency, quality, and overall performance of the electric power delivery system in New York State.	10/27/2016	Round 1: January 11, 2017 by 5:00 p.m. Eastern Time  Round 2: June 28, 2017 by 5:00 p.m. Eastern Time	<b>\$10,000,000.00</b>

<b>Solicitation No.</b>	<b>Title of Solicitation</b>	<b>Solicitation Description</b>	<b>Issue Date</b>	<b>Due Date/Round #</b>	<b>Dollar Value</b>
<b>PON 3404</b>	<b><i>Electric Power Transmission and Distribution (EPTD) Distributed Energy Resource Integration</i></b>	The New York State Energy Research and Development Authority (NYSERDA) invites proposals to support the development, demonstration, and commercialization of innovative technology and techniques to facilitate the interconnection of distributed energy resources (DER) to the electric grid. Proposals seeking to lower interconnection burdens for commercial and industrial scale (>200 kW) solar photovoltaic systems will be given preference. All proposals must address DER interconnection as discussed later in this solicitation	10/20/2016	11/28/2016	<b><i>\$3,500,000.00</i></b>
<b>RFP 3407</b>	<b><i>Reducing Distributed Energy Storage Soft Costs</i></b>	This New York State Energy Research and Development Authority (NYSERDA) Request for Proposals (RFP) 3407 seeks technical assistance contractors with the insight and capabilities to work with NYSEDA on assimilating distributed energy storage into mainstream consciousness as a viable peak load reduction measure and grid asset. In pursuit of this goal, NYSEDA is seeking proposals from qualified contractors to develop and implement a comprehensive strategy to reduce soft costs associated with distributed energy storage systems in New York State by 25% per kWh by 2019 and 33% or more by 2021 compared to a 2015-16 baseline of approximately \$220/kWh.1 Distributed energy storage (which will be referred to as energy storage in this RFP) refers to systems in the kW to multi-MW range located behind and in-front-of a customer's meter within the distribution and subtransmission system, excluding bulk storage	11/7/2016	12/12/2016	<b><i>\$8,100,000</i></b>
<b>RFI 3410</b>	<b><i>NexGen Heating, Ventilation, and Air Conditioning</i></b>	NYSERDA seeks to acquire information that will assist the development of its NextGen Heating, Ventilation, and Air Conditioning (HVAC) program. The NextGen HVAC program seeks to reduce the energy use and total costs of New York State (NYS) residential and commercial consumers through the advancement of HVAC systems. Stakeholders are being solicited for inputs in developing a prioritized list of research and study needs associated with development of the next generation of HVAC systems	1/12/2017	2/22/2017	<b><i>No value was stated in the solicitation</i></b>

<b>Solicitation No.</b>	<b>Title of Solicitation</b>	<b>Solicitation Description</b>	<b>Issue Date</b>	<b>Due Date/Round #</b>	<b>Dollar Value</b>
<b>PON 3411</b>	<b><i>Industrial Strategic Energy Management Pilot Solicitation</i></b>	This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3411 seeks applications from Industrial facilities that are interested in participating in a fully-funded, year-long Strategic Energy Management (“SEM”) pilot (the “Pilot”). By participating in the Pilot, the industrial facility will gain access to training, coaching, and peer-to-peer knowledge sharing to continuously enhance energy efficiency at their facilities.	11/22/2016	5/26/2017	<i>No value was stated in the solicitation</i>
<b>PON 3413</b>	<b><i>Clean Energy Incubators</i></b>	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.	10/12/2017	Round 1 12/1/2016  Round 2 10/25/2017	<b><i>\$10,000,000</i></b>
<b>PON 3414</b>	<b><i>Affordable Solar Predevelopment and Technical Assistance</i></b>	Affordable Solar Predevelopment and Technical Assistance will provide up to a total of \$3,600,000 to address barriers to solar installations serving low-to-moderate income (LMI) households living in rental housing, multifamily buildings, or other households not served by traditional onsite residential solar.	3/10/2017	8/31/2018	<b><i>\$4,400,000</i></b>
<b>PON 3438</b>	<b><i>Rev Campus Challenge Technical Assistance for Roadmaps</i></b>	The REV Campus Challenge aims to help colleges and universities meet their financial, environmental, academic, and community goals through clean energy solutions that also help scale up total clean energy use in New York State. The <b>REV Campus Challenge Technical Assistance for Roadmaps (the “Program”)</b> supports REV Campus Challenge members by enabling them to hire a third party energy consultant to aid in the evaluation of existing energy-related conditions on campus and establish a plan for managing changing campus energy needs (“Roadmap”). REV Campus Challenge members can apply to receive up to \$150,000 per member in NYSERDA cost-shared funding.	12/21/2016	7/31/2018	<b><i>\$2,000,000.00</i></b>
<b>RFQL 3434</b>	<b><i>Standards and Quality Assurance Services</i></b>	The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to establish a pool of qualified consultants to develop and implement quality initiatives in support of several NYSERDA programs funded under the Clean Energy Fund, Regional Greenhouse Gas Initiative and NY-Sun.	1/24/2017	2/28/2017	<i>No value was stated in the solicitation</i>



<b>Solicitation No.</b>	<b>Title of Solicitation</b>	<b>Solicitation Description</b>	<b>Issue Date</b>	<b>Due Date/Round #</b>	<b>Dollar Value</b>
<b>PON 3442</b>	<b>Workforce Training Building Operations and Maintenance</b>	<p>NYSERDA's Building Operations and Maintenance Workforce Development and Training Program seeks to reduce energy use and associated carbon emissions while saving building operators and owners money by building the skills of operations and maintenance staff and managers across the state. The goal is to provide support to help employers and building owners with workforce development and training projects that create the talent development strategy, corporate culture, on-site training framework, and training tools needed to support building operations and maintenance workers beyond classroom training.</p>	1/13/2017	4/27/2017	<b>\$4,200,000</b>
<b>RFP 3456</b>	<b>Geomembrane Cover Replacement for the State Licensed Disposal</b>	<p>NYSERDA seeks proposals for providing and installing a new geomembrane cover on the State Licensed Disposal Area (SDA) located at the Western New York Nuclear Services Center (WNYNSC).</p> <p>The success of this contract will be, in part, dependent on securing the services of a highly qualified, experienced geo-synthetics installer with the ability to perform in a highly regulated environment.</p> <p>Geomembrane construction design drawings, bid documents, technical specifications as well as a Quality Assurance / Quality Control Plan are included in this solicitation. The term of the contract will be for a two-year period. The contract is expected to start on or about June 1, 2017.</p>	2/27/2017	3/30/2017	<b>No Value was stated in solicitation</b>
<b>RFP 3461</b>	<b>Low-Income Forum on Energy (LIFE) Implementation Services</b>	<p>NYSERDA requests proposals for implementation services for the LIFE initiative. The selected contractor shall provide: Event management, including conference/meeting agenda and content development, webpage hosting and registration infrastructure, marketing assistance, and on-site support; Content development services for a monthly electronic newsletter, a monthly webinar series, and social media efforts; Stakeholder management services, including interfacing with Salesforce Customer Relationship Management software system and conducting stakeholder outreach/recruitment to increase the number of stakeholders participating in the initiative; Steering Committee support services, including administrative support for meetings, communication coordination, and subcommittee management; Project management and progress reporting.</p>	2/23/2017	3/23/2017	<b>\$300,000.00</b>

NYSERDA  
Public Authority Law Report  
October 1, 2016 to March 31, 2017

Section Break



**Commercial New Construction  
Program Opportunity Notice (PON) 1601Rev1  
\$19,351,548 Available  
January 9, 2017**

Applications are accepted January 4, 2012 through December 29, 2017 or until funds are fully committed, whichever comes first.

**PROGRAM OPPORTUNITY NOTICE SUMMARY**

The Commercial New Construction Program Opportunity Notice PON1601Rev1 offers objective technical and financial support to building owners to effect a permanent transformation in the way buildings are designed and constructed in New York State. Technical and financial support is offered on a first-come, first-served basis, subject to funding availability. Financial support is locked in at the time NYSERDA issues a written pre-approval of the financial offer.

NYSERDA provides cost-shared technical support to help applicants and their design teams assess and determine the most applicable energy efficiency and green building opportunities for the building. Applicants may select a technical consultant from a list maintained by NYSERDA, or may utilize the services of a provider of their choice, subject to NYSERDA approval. Supplemental technical support is available for applicants pursuing a deep energy savings or zero net site energy project.

For applications received on or after March 1, 2016, \$19,351,548 is available through PON1601Rev1 to offset a portion of the incremental capital costs to purchase and install energy-efficient equipment in these buildings to reduce energy consumption. Financial support is based on the anticipated building energy efficiency improvements. A Green Building Bonus is offered to encourage applicants to integrate green building practices through Leadership in Energy and Environmental Design (LEED®) or the Northeast Collaborative for High Performance Schools (CHPS) certification.

Applications will be accepted January 4, 2012 through December 29, 2017 or until funds are fully committed, whichever comes first.

**APPLICATION SUBMISSION:**

Applicants must complete the Consolidated Funding Application (CFA) online at:  
<http://www.nyserda.ny.gov/Funding-Opportunities/Consolidated-Funding-Application.aspx>.

Assistance to answer questions on the Consolidated Funding Application is available at 1-866-NYSERDA (toll free), or via email at [cfa@nyserda.ny.gov](mailto:cfa@nyserda.ny.gov). Please reference Consolidated Funding Application for the Commercial New Construction Program.

**INTRODUCTION**

The goal of the Commercial New Construction Program is to effect a permanent transformation in the way new and substantially-renovated buildings are designed and constructed in New York State. The Commercial New Construction Program meets this objective by providing technical and financial support to improve the energy efficiency of new and substantially-renovated buildings. Financial support is based on the anticipated building energy efficiency improvements. Technical and financial support are offered on a first-come, first-served basis subject to funding availability. Financial support is locked in at the time NYSERDA issues a written pre-approval of the financial support offer.

## ELIGIBILITY

The Commercial New Construction Program is available for new construction or substantial renovations of commercial and institutional buildings in New York State.

**New Construction** - defined as a project involving a new building, or space within a new building, for which a registered professional architect or engineer has prepared and certified building plans.

**Substantial Renovations** - defined as one of the following types of projects where a licensed professional architect or engineer has prepared and certified building plans for:

- Change of use and reconstruction of an existing building or space within;
- Construction work of a nature requiring that the building or space within be out of service for at least 30 consecutive days; or
- Reconstruction of a vacant structure or space within.

State, federal and local governments, businesses, not-for-profit and private institutions, public and private schools, colleges and universities and health care facilities that are electricity customers of a participating utility company, and that pay, or will pay, into the System Benefits Charge are eligible for technical and financial support.

To ensure eligibility to participate in the Commercial New Construction Program and to maximize benefits, NYSERDA recommends that applications be submitted in the schematic design phase or earlier.

Applicants may not obtain financial support for the same energy efficiency measure through other NYSERDA programs or from programs offered by their local utility.

## PROJECT AND TECHNICAL SUPPORT

At no cost to the applicant, an outreach consultant will be assigned to the project. Outreach consultants are under contract to NYSERDA to assist applicants with project needs. The outreach consultant will interface with the technical consultant (see below), review scopes of work and studies, and be available to answer questions from the applicant.

NYSERDA provides cost-shared technical support to help applicants and their design teams assess and determine the most applicable energy efficiency and green building opportunities for the building. Applicants may select a technical consultant from a list maintained by NYSERDA, or may utilize the services of a provider of their choice, subject to NYSERDA approval. The technical consultant will work with NYSERDA to provide a written scope of work and budget for the technical support. The scope of work will be reviewed by the applicant for approval and commitment of their cost share prior to delivery of services.

Technical support is also available for applicants pursuing a Zero Net Site Energy or a Deep Energy Savings project. Zero Net Site Energy and Deep Energy Savings are defined in the program services and support documents. NYSERDA is interested in supporting replicable projects in the education and office sectors for applicants who have made a commitment to zero net or deep savings design. Ideally projects will be at a programming or concept design phase. For zero net or deep savings projects targeting other sectors or for projects beyond concept design prospective applicants are encouraged to contact NYSERDA to discuss participation opportunities.

## FINANCIAL SUPPORT

Financial support is based upon the anticipated energy performance of the building relative to a designated baseline. Financial support covers a portion of the incremental costs of energy efficiency measures. Incremental costs are defined as the difference in cost between equipment that would meet the designated baseline condition and the more efficient equipment that will be installed in the building.

NYSERDA will provide written pre-approval of applications qualified for financial support prior to equipment installation. Upon NYSERDA review and approval of the completed installation and supporting documents, a check will be issued to the applicant.

The Commercial New Construction Program aims to help applicants achieve buildings with very low energy use and with sustainable design features. Paths of participation are categorized according to project size and complexity:

**Custom Measure** – Through this approach, potential energy saving opportunities and associated financial support are calculated for a variety of individual measures. This approach may be most appropriate for smaller projects of moderate complexity. Custom measure projects must qualify for a minimum \$30,000 incentive for participation.

**Whole Building Design** – This approach examines interactions among energy efficiency improvements and their impact on other systems throughout the building. Projects must be in the schematic design phase or earlier to be eligible for Whole Building Design financial support. Generally, the Whole Building approach is limited to projects of at least 25,000 square feet, or at least 100 tons of cooling load or at least 15 kilowatts (kW) of lighting load.

**Green Building Bonus** – Applicants pursuing the Whole Building Design approach (or Custom Measure for commercial office interiors projects) may also pursue the Green Building Bonus, which promotes the design and construction of green buildings, giving careful consideration to three main elements: healthy indoor environment, maximum energy efficiency, and conservative, thoughtful use of natural resources. The Green Building Bonus is limited to those projects which achieve LEED® or Northeast CHPS certification and additional credits as described in the program financial support documents. The Green Building Bonus can help to offset a portion of the costs of a green building consultant, project registration and certification.

**Building Commissioning** - Financial support is available for building commissioning services. Commissioning is a systematic quality-assurance service that verifies the building systems meet performance requirements and are operating at optimal efficiency.

**Design Team Support** - Financial support is available for the project Architect and/or Engineer-of-Record for participation in the Commercial New Construction Program. Eligible projects are those that participate under the Whole Building Design Approach.

**Other Financial Support** - Periodically NYSERDA offers other bonus financial support or special programs for specific energy initiatives. Applicants are encouraged to review current opportunities with their outreach consultant.

## **PROJECT INSPECTION, MEASUREMENT AND VERIFICATION**

Upon project completion NYSERDA or its outreach consultant may perform a field inspection to confirm installation of the energy efficiency measures. Financial support payments may be adjusted if measures are not installed or operating.

All applicants must provide site access to NYSERDA staff or its contractors after project completion for possible measurement and verification.

## **ATTACHMENTS**

Exhibit A – Commercial New Construction Program Terms and Conditions

Exhibit B – NYSERDA Prompt Payment Policy Statement

Exhibit C – Standard Terms and Conditions for all NYSERDA Agreements

Exhibit D - Technical and Financial Support Summaries – Non-Con Ed and Con-Ed Programs



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

**\$6,000,000 Available\***

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

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

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

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

**\*NYSERDA may increase or decrease the funds available under this PON at any time.**

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

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

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

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

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

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

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

## I. INTRODUCTION

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

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

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

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

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

## II. FUNDING, ELIGIBLE CUSTOMERS, INCENTIVES, LIMITATIONS

### A. Program Funding

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

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

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

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

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

Tranche	Overall Budget*	Portion of Budget as “Mini” Wind Turbine <u>Set-Aside</u> *	Portion of Budget as <u>General Fund</u> *
A	\$4.5	\$1.5 (SA-A)	\$3.0 (GF-A)
B	\$1.5	\$.5 (SA-B)	\$1.0 (GF-B)
<b>Total</b>	<b>\$6.0</b>	<b>\$2.0</b>	<b>\$4.0</b>

\* Dollars are in millions

Until September 30, 2017, the Set-Aside funds in tranches SA-A and SA-B (see column 3) will be available exclusively for “mini” wind turbines. If the funds in SA-A (the first tranche) are exhausted and there are uncommitted funds remaining in GF-A (the first tranche), a “mini” wind turbine project may be awarded funds from GF-A. However, if both SA-A and GF-A funds are exhausted, a “mini” wind turbine project may be awarded funds from SA-B. If the funds in both SA-A and SA-B are exhausted and there are uncommitted funds remaining in GF-B, a “mini” wind turbine project may use funds from GF-B.

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

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



SA-A funds will roll:

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

SA-B funds will roll:

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

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

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

### **B. Eligible Customers**

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

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

### **C. Incentive Levels**

The NYSERDA incentive will be based on the expected annual energy output (AEO) of the proposed wind energy system, at the proposed location, at the time the application is full and complete; applications will be

considered full and complete only after Attachments A and B and all supporting documents are reviewed and approved by NYSERDA). The AEO must be calculated by the NYSERDA-approved wind resource assessment tool. Visit <http://www.nyserdera.ny.gov/All-Programs/Programs/Small-Wind-Program> for more details. It will also be necessary to complete a Wind Site Assessment, as further explained in Section IV. A.

The incentive rate at Tranche A is identical to the program's recent historic incentive rate, but the incentive rate will decline at Tranche B (to 75% of Tranche A). An application which exhausts the funds in a given tranche and requires funds from the next subsequent tranche will be awarded funds on a pro-rated basis, receiving funds from each tranche at the incentive rate associated with that particular tranche.

#### Incentive Rate at Tranche A:

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

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

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

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

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

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

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

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

#### Incentive Rate at Tranche B:

If the AEO is 10,000 kWh or less, the NYSERDA incentive is \$2.65 per kWh.

*Example: If the AEO of the wind energy system is 7,400 kWh, the NYSERDA incentive is \$19,610.  
[7,400 kWh x \$2.65/kWh]*

If the AEO is greater than 10,000 kWh and less than or equal to ( $\leq$ ) 125,000 kWh, the NYSERDA incentive is \$26,500 plus \$0.75 per kWh for every kWh greater than 10,000 kWh.

*Example: If the AEO of the wind energy system is 32,500 kWh, the NYSERDA incentive is \$43,375.  
[\$26,500 + (22,500 kWh x \$0.75/kWh)]*

If the AEO is greater than 125,000 kWh and less than or equal to ( $\leq$ ) 1,000,000 kWh, the NYSERDA incentive is \$112,750 plus \$.23 per kWh for every kWh greater than 125,000 kWh.

*Example: If the AEO of the wind energy system is 200,000 kWh, the NYSERDA incentive is \$130,000.  
[\$112,750 + (75,000 kWh x \$.23/kWh)]*

If the AEO is greater than 1,000,000 kWh, the NYSERDA incentive is \$314,000 plus \$.11 per kWh for every kWh greater than 1,000,000 kWh (up to a maximum incentive of \$1,000,000).

*Example: If the AEO of the wind energy system is 2,500,000 kWh, the NYSERDA incentive is \$479,000.  
[\$314,000 + (1,500,000 kWh x \$.11/kWh)]*

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

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

#### **D. Limitations.**

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

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

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

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

- The first application submitted by a new Installer must be approved by NYSERDA before any additional applications may be submitted.

- If more than five (5) of an Eligible Installation Company's open projects (i.e., application for which NYSERDA has issued a Purchase Order but NYSERDA has not yet paid the final invoice) are not proceeding in a timely manner, as defined in Section II.F of this PON, NYSERDA will not process or approve any additional applications involving that company, until the non-timely projects are reduced to no more than five (5). Relatedly, the one-time batch of applications being re-directed into this PON from the previous program which closed 2/29/2016 will be allocated funds from Tranche A at the Tranche A incentive rate but, for an Eligible Installation Company with more than five (5) open projects that are not proceeding in a timely manner, NYSERDA will not further process applications until the non-timely projects are reduced to no more than five (5).

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

#### **E. Incentive Payment Schedule**

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

#### **F. Application and Payment Approval Timing**

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

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

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

Upon NYSERDA's approval of a full and complete application, the installer will receive an approval letter with a Purchase Order attached; this is the point at which funds will be allocated for the project. The date on the Purchase Order shall serve as the starting date of the project. All the wind energy system components should be delivered to the customer's site within 120 days of this starting date (**the first milestone**). With the delivery of this equipment, the Eligible Installation Company may request their initial 65% payment from NYSERDA. Otherwise, the project will be deemed to be delinquent and may be subject to corrective action at NYSERDA's sole discretion including but not limited to termination of the incentive award and/or withholding the award of further contracts to the involved Eligible Installation Company based on the company's overall portfolio of then delinquent projects.

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

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

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

### III. WIND ENERGY SYSTEM AND SITE REQUIREMENTS

#### A. Wind Energy Systems and Components

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

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

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

NYSERDA reserves the right to consider installations on a case-by-case basis.

**Building-Mounted Turbines** – In situations where the local municipality has an ordinance that stipulates the criteria for building-mounted wind turbines, a wind turbine may be mounted on a pre-existing structure such as a building or a pre-existing tower. For turbines mounted on a pre-existing structure, a structural analysis must be provided demonstrating sufficient structural integrity. NYSERDA reserves the right to approve such applications on a case-by-case basis.

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

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

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

## **B. Siting Considerations**

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

In addition, the following general criteria will apply:

- The minimum work zone distance between the tower base, and a property line or power line is the height of the wind energy system, above ground level, including the blades, plus 10%. (i.e., 1.1 times the total height of the wind energy system)
  - o Customers may apply for an exemption with written permission from the neighbor and an indication from the neighbor that the use of land in the vicinity is consistent with the proposed wind energy system. There is no exemption for power lines.
- The minimum setback distance between the tower base and any human-occupied building is five times the rotor diameter.
  - o Customers may apply in writing for an exemption from this minimum distance requirement for buildings they own; however, the customer must demonstrate that the potential problems that may arise by locating the wind energy system less than the required distance from the building have been addressed.

- For building-mounted applications, if the local municipality has an ordinance that stipulates the criteria for building-mounted wind turbines, then building-mounted wind turbines may be eligible for funding under this program, provided all other program requirements are met. If the local municipality does not have an ordinance that stipulates the criteria for building-mounted wind turbines, then a building-mounted wind turbine is not eligible for funding under this program.
- If multiple turbines are proposed for a site, there must be a distance of at least ten times the rotor diameter between the tower bases.
- The bottom of the rotor must be at least 30 feet above any obstacle, in any direction, within 500' of the turbine.

#### IV. REQUIRED DOCUMENTATION FOR CUSTOMER INCENTIVE APPLICATIONS

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

##### A. Attachment A – Installation Information

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

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

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

- A description of potential obstructions that may affect the proposed turbine's AEO. NYSERDA may apply additional turbulence losses to the analysis. When the obstacles are trees, their mature height must be used to determine minimum turbine height.
- Aerial photos or images of the potential wind site.
- Elevation of the site (feet about sea level).
- A plot plan, on 8-1/2" x 11" paper, (multiple plans may be submitted, if scaling is an issue.) which includes the following:
  - o Property lines and physical dimensions of the property
  - o Location, dimensions, and types of existing major structures on the property
  - o Location of the proposed wind system tower(s)
  - o The right-of-way of any public road that is contiguous with the property;
  - o Location of any overhead utility lines;
  - o Location of utility meter; and
  - o Electrical interconnection location.
- Estimated AEO of the proposed turbine.\*

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

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

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

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

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



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

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

**B. Attachment B - State Environmental Quality Review**

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

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

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

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

**V. INSTALLER ELIGIBILITY**

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

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

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

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

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

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

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

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

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

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

## VI. ELIGIBLE WIND TURBINES

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

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

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

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

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

## VII. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## VIII. ATTACHMENTS

Attachment A - Customer Incentive Application Form

Attachment B - Permitting and SEQR Information

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

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

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

Attachment F – Installer Eligibility Application Form

Attachment G - Eligible Installer Agreement - Standard Terms and Conditions

Attachment H - Eligible Wind Turbine Application Form

Attachment I – Electric Utility Information

Attachment J – Manufacturer Authorization Letter



**Electric Power Transmission and Distribution (EPTD)  
High Performing Grid Program  
Program Opportunity Notice (PON) 3397  
Up to a total of \$10 Million Available for Two Rounds**

**Proposals Due: Round 1: January 11, 2017 by 5:00 PM Eastern Time \*  
Round 2: June 28, 2017 by 5:00 PM Eastern Time \***

The New York State Energy Research and Development Authority (NYSERDA) announces the availability of up to \$10 million in funds to support research and engineering studies, product development and demonstration projects that improve the resiliency, reliability, efficiency, quality, and overall performance of the electric power delivery system in New York State. Proposals must demonstrate significant statewide public benefit and quantify all energy, environmental and economic impacts. The primary objective of the program is to promote the development of a high performing smart grid that accommodates a diverse supply of clean energy generation resources, enhances overall grid performance and enables customers to reduce their energy costs, energy consumption, and environmental impacts.

Examples of preferred technologies include, but are not limited to, the following:

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li><b>Advanced Monitoring, Measurement and Controls</b></li> <li><b>Renewable / Distributed Energy Resources Integration</b></li> <li><b>Advanced Materials, Cabling / Conductors</b></li> <li><b>Distributed Energy Resources Interconnections / Microgrids</b></li> <li><b>Innovative Data Analytics</b></li> </ul> | <ul style="list-style-type: none"> <li><b>Transmission &amp; Distribution Automation / Management</b></li> <li><b>Advanced Power Electronics</b></li> <li><b>Advanced System Modeling / Applications</b></li> <li><b>Advanced Sensors / Devices / Systems</b></li> <li><b>Advanced / Adaptive Protection Systems / Controls</b></li> </ul> |
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NYSERDA is accepting proposals in the following categories:

Category	Maximum NYSERDA Funding Per Award	Total Project Cost Share
<b>Category A: Research Studies</b>	<b>\$ 400,000</b>	<b>25%</b>
<b>Category B: Engineering Studies</b>	<b>\$ 400,000</b>	<b>25%</b>
<b>Category C: Product Development</b>	<b>No limit</b>	<b>50%</b>
<b>Category D: Demonstration Projects</b>	<b>No limit</b>	<b>50%</b>

**Proposal Submission:** Electronic submission is preferable. NYSEDA will also accept proposals by mail or hand-delivery. Whether submitted electronically or by mail or hand delivery, proposals must be received by NYSEDA by 5:00 PM Eastern Standard Time on January 11, 2017 (Round 1) or June 28, 2017 (Round 2). 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 NYSEDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). For detailed instructions on how to submit electronically, click the link “NYSEDA Solicitation – User Guide” which is also located on this PON’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 storage device containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to: **Jillina Baxter, PON 3397, New York State Energy Research and Development Authority, 17 Columbia Circle, Albany, NY 12203-6399**. Technical programmatic questions should be directed to John Love, 518-862-1090 ext: 3317 ([john.love@nyserda.ny.gov](mailto:john.love@nyserda.ny.gov)), or Michael Razanousky, 518-862-1090 ext: 3245 ([michael.razanousky@nyserda.ny.gov](mailto:michael.razanousky@nyserda.ny.gov)). 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 Michael Razanousky, (518) 862-1090 ext: 3245. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-

responsible offeror, and (2) may result in the proposer not being awarded a contract.

\* Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the bidder's responsibility to ensure that all pages have been included in the proposal. Faxed or emailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site: [www.nyserdera.ny.gov](http://www.nyserdera.ny.gov) and in the Contract Reporter.

## ***I. INTRODUCTION***

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The Electric Power Transmission and Distribution High Performing Grid Program, funded through the Clean Energy Fund authorized by the Public Service Commission will make investments in research that accelerate realization of an advanced, digitally enhanced and dynamically managed electric grid that results in more efficient asset utilization (e.g., reduced operating margins, reduced power demands, reduced energy losses) and improved reliability, and resiliency to climate change induced weather-events. Such investments are also expected to build the capacity to integrate and expand the use of clean distributed energy resources accommodating increased customer engagement in energy markets on a customer-by-customer basis, as well as enabling the development of community-based energy systems such as microgrids. The attributes of an advanced, dynamically managed electric grid are essential components of any comprehensive strategy to achieve the goals of the New York State Energy Plan, Clean Energy Standard, and the Reforming the Energy Vision (REV) initiative.

This Electric Power Transmission and Distribution High Performing Grid Program solicitation is issued for specific technology areas including, but not limited to: transmission and distribution automation and management; renewable energy integration; advanced monitoring and controls; distributed energy resource integration; microgrids; advanced sensors, devices and systems, advanced materials, cabling and conductors, and advanced system modeling and applications. Activities include demonstration projects, product development and studies that improve grid resiliency, reliability, efficiency, quality, and performance as the electric power delivery network accommodates clean energy technologies such as renewable power generation, electric vehicles, and efficient distributed generation systems. Projects that promote smart grid technologies, components and/or systems both within and outside of the six New York regulated electric service territories (Consolidated Edison, Orange and Rockland, New York State Electric and Gas, Rochester Gas and Electric, Central Hudson Gas and Electric, and National Grid) and meet the Program Requirements are eligible for funding under this solicitation. The program strives to coordinate its activities with the Reforming the Energy Vision (REV) initiative being pursued in New York State. **All projects must demonstrate broad public benefit.**

Proposals will be evaluated in select categories and scored on criteria listed in this solicitation. All of the proposals will be reviewed by an investment evaluation panel (IEP) consisting of both internal NYSERDA staff and outside experts. All proposals will be evaluated according to the quality and level of detail provided and must include substantive documentation addressing all evaluation criteria items.

## ***II. PROJECT CATEGORIES***

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This solicitation includes four project categories. **The proposer must indicate under which category they are proposing.** Proposers should give careful consideration under which category to propose, as inappropriate choices could negatively affect project selection results. Proposers are encouraged to contact NYSERDA (see cover page for instructions) with technical questions to promote complete understanding of the project categories as described below:

**Category A: Research Studies (NYSERDA's share of funding for any project of this type will be limited to a maximum of \$400,000. Proposer total project cost share at or above 25%.)**

- Research aimed at exploring new policy, business models, regulatory, planning and cost recovery models, advanced concepts, innovative product and/or technology development. Studies that will reduce barriers to the deployment of advanced technologies that improve the resiliency, reliability, quality and efficiency of the electrical power delivery system.

**Category B: Engineering Studies (NYSERDA’s share of funding for any project of this type will be limited to a maximum of \$400,000. Proposer total project cost share at or above 25%.)**

- Engineering studies that assess the feasibility, design and effectiveness of demonstrating new or under-utilized technologies at a New York site. Engineering studies are expected to ultimately lead to a project proposal under Category D: Demonstration Projects and are intended to support project development activity such as detailed design, site assessment, economic analysis, interconnection and permitting issues associated with potential demonstration projects that improve the resiliency, reliability, quality and efficiency of the electric power delivery system.

**Category C: New Product Development (Proposer total project cost share at or above 50%.)**

- Development and commercialization of products for improving the resiliency, reliability, quality and efficiency of the electrical power delivery system. Note that bench-scale testing and field verification or testing may be included in Category C projects. Technical and economic feasibility studies of the technology should have been demonstrated prior to submitting a Category C proposal. If they haven’t, consider proposing in Category A.

**Category D: Demonstration Projects (Proposer total project cost share at or above 50%.)**

- Demonstrations of new or under-utilized technologies that are past the technology readiness level 6 or above stage. Projects in this category **should not** include technology or product development tasks. If technology or product development tasks are necessary, consider proposing in Category C. Projects in Category D should demonstrate innovative new or under-utilized products or technologies in pioneering applications. Proposals in this category should clearly identify how this project will bring the product or technology closer to commercial realization and how such demonstration will lead to increased use of the technology in New York State. Proposers must clearly identify whether the demonstration project will support either transmission or local distribution operations.

**NOTE: NYSERDA reserves the right to negotiate scope of work, budget and funding levels on all awarded projects. Efforts requesting more than \$250,000 of NYSERDA funds may be phase funded.**

### ***III. ELIGIBLE TECHNOLOGIES***

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Technologies eligible under this solicitation include innovative and under-utilized high performing smart grid and other technologies that improve the resiliency, reliability, performance and efficiency of the electric power grid. Potential technologies include, but are not limited to:

- (1) Transmission and distribution advanced monitoring and control systems and subsystems;
- (2) Advanced power electronics and protection systems.
- (3) Transmission and distribution automation and management systems and subsystems;
- (4) Processes, systems and technologies, such as micro-grids, that promote integration of renewable or distributed energy resources and electric energy storage technologies into the distribution system;
- (5) Innovative monitoring and control systems related to power transmission and delivery, such as remote or on-site monitoring and diagnostic systems, intelligent remote or on-site control systems to provide command and communication with power delivery systems equipment, or control systems;
- (6) Equipment that enhances the reliability, efficiency, optimization, or enables integration of renewable power generation or storage technologies;
- (7) Advanced sensors, devices, control systems and other equipment innovations that improve transmission and distribution system performance and reliability;
- (8) Distributed and renewable energy integration and interconnection systems and subsystems;
- (9) Advanced systems modeling and applications, such as data processing, visualization, diagnostics and analytic technologies; and



- (10) Advanced materials, conductor and cabling technologies to improve resiliency, reliability, congestion and reduce losses.

## ***IV. PROGRAM REQUIREMENTS***

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Projects selected for funding must:

- (1) Address an innovative technology that improves the performance, power quality, resiliency, reliability or cost effectiveness of the electric power grid.
- (2) Provide direct and quantifiable energy, environmental, and economic benefits to New York State such as emissions reductions (such as greenhouse gases and criteria air pollutants), job creation, product manufacturing and sales, increased resiliency and reliability, higher efficiency, and reduced electric costs.
- (3) Include a project budget using the Attachment D Contract Pricing Proposal Form (CPPF) showing total project cost and proposer cost-share. Include a cost-sharing breakdown by project task in the Statement of Work.
- (4) Provide for the sharing of project success by agreeing to pay recoupment, where required, to NYSERDA for any new technology or product development project requesting NYSERDA funding over \$100,000 upon product commercialization, if applicable (see terms and conditions in Attachment F, Sample Agreement).
- (5) Demonstrate that the proposer and/or team of proposers are qualified to carry out the submitted project proposal.
- (6) Provide a strong rationale as to how the project will overcome barriers impeding the implementation or adoption of any new or under-utilized technology.
- (7) For projects that develop technologies or products, emphasize development and/or application of marketable products for near-term commercialization, rather than basic research, and provide an assessment of the addressable market, and discuss an appropriate commercialization path and potential for manufacturing in New York State. Note that even in early-stage projects, initial activities focusing on commercialization (or technology deployment) paths and challenges are essential to assessing benefits, risks, and future resource requirements.
- (8) For demonstration projects, clearly identify how this project will bring the product closer to commercial readiness and how such demonstration will lead to increased use of the product in New York State.  
**Demonstration projects must be installed within New York State. See additional requirements for Demonstration Projects below.**
- (9) Provide a letter of support and commitment from all funding sources and entities responsible for managing, operating and maintaining all electric delivery infrastructure impacted by project.
- (10) Demonstrate that the project and funding request addresses a current challenge to technology evolution that is not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding. Include a cost and New York statewide public benefit analysis to justify allocation of funds.

### **Other Considerations**

- A proposal may be considered non-responsive if it fails to comply with the requirements of this solicitation.
- Prior to an award being made, potential contractors may be required to demonstrate: access to financial resources sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.

- Preference will be given to proposers that provide higher cash contributions towards project costs.
- External funding partnerships are encouraged to leverage limited New York State resources. Proposers are encouraged to develop projects that leverage funding with external resources partners such as other research and development organizations.

## ***ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY D DEMONSTRATION PROJECTS ONLY***

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Category D projects selected for funding **must**:

- (1) Have a **New York State demonstration site**.
- (2) Be installed within 36 months of contract.
- (3) Address safety issues, including public safety, that are applicable to the demonstration project.
- (4) Comply with all applicable building, fire, electrical, and interconnection codes, standards, and requirements.
- (5) Provide equipment sensors, instrumentation, and a complete data acquisition system for remote monitoring and reporting as specified below.
- (6) Demonstrate the technology viability and monitor the performance, characteristics, and benefits for a period adequate to meet project goals. If the period is under 18 months, the proposer must discuss why the proposed time is adequate. Unless the proposer demonstrates a compelling reason otherwise, at least 365 operating days of data will be required after commissioning.
- (7) Present an economic analysis of the proposed technology demonstration including an estimated cost/benefit ratio, and a plan to measure the actual cost/benefit ratio during the demonstration.

### Data Acquisition Requirements for **Category D Demonstration Projects Only**

NYSERDA intends to provide system level operation and performance information, including economic performance information, to the general public on each of the demonstration projects funded under this solicitation. In order to meet this objective, each demonstration project must provide sufficient instrumentation and data transmittal, and analytical capabilities to allow the collection and analysis of technical and economic performance data.

The demonstration project proposal should include system operating data to be used for evaluation and generation of reports on the overall performance of the technology being demonstrated. Data acquisition sampling rates must be adequate to characterize the benefits and the value proposition of the proposed application. For example, sampling rates for applications designed to enhance power quality or system stability would be much higher than sampling rates for peak shaving or arbitrage applications. In the event that the demonstration system performs multiple activities, the system must provide for the collection of data for all activities. All raw and summary data collected at the project sites must be archived and protected from loss on permanent media.

### Benefits Data Tracking and Reporting for **Category D Demonstration Projects Only**

Data sufficient to demonstrate the **energy, environmental, and** economic benefits defined in the proposal must be measured, collected, analyzed, and recorded. For applications that claim multiple benefits, the proposed data and analysis scheme must adequately support the claimed benefit for each of the benefits specified in the proposal.

### Reporting Requirements for **Category D Demonstration Projects Only**

The proposal must identify the project team member who will be responsible for the preparation and delivery of periodic written project reports. System operational summary information must be generated regularly and be included in progress reports. At a minimum, the system operational summary information must include the following:

- Raw data.
- System performance summary.
- Summary of system reliability and failure rates.
- A written summary of the economic benefit derived for the time period.
- A written summary of all operations and maintenance activities for the time period.
- System dispatch information and use patterns associated with the project, as appropriate.
- Energy consumption breakdown of parasitic loads introduced by the demonstration system, as appropriate.

- System performance under typical utility fault conditions, e.g. lightning strikes, primary phase to ground faults, voltage sags/spikes, electric outages, etc., as appropriate.
- System performance under user fault conditions, e.g. fault in customer plant, as appropriate.

Reports must be generated that consolidate all the information from the reports and summarize demonstration system performance for the preceding year.

#### Historical Performance Data Reporting for **Category D Demonstration Projects Only**

Where appropriate to document project benefits, historical utility system operational data prior to the installation of the demonstration system is required in order to provide credible baseline data on electrical system performance before and after the installation of the demonstration system. Information concerning load profiles, peaks, overloads, faults, power quality events, and any other information required to fully characterize the operation of the electrical utility at the demonstration site prior to installation of the demonstration system must be collected by the proposer for a reasonable period of time. Comparison information must be made part of the progress reports.

## **V. PROPOSAL REQUIREMENTS**

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**Proposal Submission:** Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. All proposals must be received by NYSERDA by 5:00 PM Eastern Standard Time on January 11, 2017 (Round 1) or June 28, 2017 (Round 2). If submitting electronically, proposers 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.nyserderda.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 storage device containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to: **Jillina Baxter, PON 3397, NYS Energy Research and Development Authority, 17 Columbia Circle, Albany, NY 12203-6399. Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist may be returned.** Faxed or e-mailed copies will not be accepted.

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The proposer’s goal should be to concisely present the information needed to fully address the evaluation criteria (see Section VI). Proposals that grossly exceed the word limits or fail to follow the format guidelines may be rejected as non-responsive. Proposals deemed non-responsive will not be eligible for awards. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section VIII instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal’s standing per the evaluation criteria. Each page of the proposal should state the name of the proposer, the PON number, and the page number. The proposal must be in the following format, with items in the sequence shown.

**1. Proposal Checklist - Complete the specific Proposal Checklist attached as part of this PON, and include it as the front cover of the original and each copy of the proposal.** Please note the following:

1. Indicate whether you accept the standard terms and conditions as contained in the attached Sample Agreement (Attachment F). If you do not accept the standard terms and conditions, provide alternate terms with justification based on the risk and benefit to NYSERDA and New York State. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement.
2. Be sure the individual who is signing the Proposal Checklist is authorized to commit the proposer’s organization to the proposal as submitted.

3. Indicate to which category you are proposing on the proposal checklist. Each proposal will be considered for only one category of funding.
4. Do not leave any blanks. If a specific question is not applicable, indicate N/A.

**2. Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k.** In compliance with §139-j and §139-k of the State Finance Law (see Section 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.

**3. Proposal Narrative.** Complete the Proposal Narrative form-fillable document as part of the PON (Attachment C). The Funding Category must be clearly indicated. The Proposal Narrative contains the following sections:

- Executive Summary
- Problem Statement and Proposed Solution
  - Attachment C2: Business Model Canvas (Category C, and D)
- State of Research and Technology Targets
  - Attachment C3: Technology Readiness Level/Commercial Readiness Level Calculator
- Commercialization Potential of Proposed Product
  - Attachment C4: Three-Year Financial Projects Worksheet (Category C)
- Demonstration Project Information (Category D Only)
- Study Information (Category A and B)
- Statement of Work (Attachment C1) and Schedule
- Project Benefits
- Budget
- Proposer Qualifications
- Letters of Support
- Attachments

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

## ***VI. PROPOSAL EVALUATION***

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Proposals will be reviewed by an Investment Evaluation Panel (IEP) and will be scored and ranked according to the following criteria. In addition to considering how project proposals satisfy the Evaluation Criteria listed below, NYSERDA reserves the right to make funding decisions on the basis of other programmatic reasons such as, but not limited to, NYSERDA’s history/experience with particular contractors, geographic equity/distribution, customer diversity, scale of anticipated impacts, and prospects for learning opportunities. After the proposals are reviewed, NYSERDA will issue a letter to each proposer indicating its proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA. The proposer will be required to submit a detailed Statement of Work, budget, and schedule, and may also be asked to address specific questions or recommendations of the IEP before contract award.

### **EVALUATION CRITERIA:**

#### **Problem and Proposed Solution (All Categories) -**

- How significant is the problem or opportunity to New York State?
- Is the proposed work technically feasible, innovative, and superior to alternatives?
- Does the proposal address an eligible technology?
- How well does the proposed solution address the problem or opportunity?
- Are fundamental scientific principles well understood and clearly presented?
- How appropriate are the cost, technical, and performance goals for the proposed technology or product?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs?

- If the proposed work is a follow-on project to a previously co-funded NYSERDA project, what was the outcome of the earlier phase?
- Is the proposed project addressing a current challenge or opportunity that is not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding?

**Proposed Work (Category D only) –**

- How significant is the demonstration opportunity to New York State?
- How well does the proposed solution address the problem or opportunity?
- Is the proposed demonstration innovative and is it appropriate that the proposed demonstration be funded under this program as opposed to a NYSERDA program that provides incentives to install certified, commercially-ready technologies?
- Does the proposal address an eligible technology?
- Is the proposed demonstration well-conceived, technically feasible, and superior to alternatives?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs?
- What is the level of commitment of a New York State site?
- Is an appropriate performance monitoring and data analysis effort included in the proposal?
- If the proposed work is follow-on to a previously co-funded NYSERDA project, what was the outcome of the earlier phase?

**New York State Impact and Project Benefits (All Categories) –**

- To what extent does the project support Reforming the Energy Vision (REV) goals, grid modernization in general, the Clean Energy Standard, and the Clean Energy Fund goals in New York State?
- To what extent will there be economic benefits in New York State in the form of subsequent commercial activity and economic growth?
- Does the proposal include a New York State demonstration site?
- To what extent does the proposal involve the participation of one or more utilities?
- Are the appropriate letters of support and/or commitments included in the proposal?
- How well are the potential benefits to New York State quantified?
- How likely is it that the projected benefits will be realized?
- Does the proposed project have favorable energy, efficiency, environmental and economic impacts in New York State? How significant are these impacts?
- To what extent will there be economic benefits in New York State in the form of subsequent commercial activity?
- Are the technical risks identified, appropriately addressed, and balanced by project benefits?
- Does the proposal address an innovative technology that improves performance, quality or reliability / resiliency of the electric power system?

**Statement of Work and Schedule (All Categories) -**

- How appropriate are the technical and performance goals for the proposed project?
- Do the proposed technical and performance goals adequately allow for measurement and verification of the success of the proposed project?
- Is the work strategy in the Statement of Work sound and likely to achieve the technical and performance goals?
- Does the Statement of Work include an economic analysis of the technology based on performance measurements?
- Is the Statement of Work well organized, complete, and appropriate for the goals identified?
- How realistic is the schedule for achieving the goals of the proposed project?
- Is the proposed level of effort reasonable to complete the proposed project?
- Are the proposed milestones reasonable?

The following criteria apply to Category D projects only:

- Are the data acquisition, monitoring, and reporting plans reasonable and do they meet the requirements in Section V, ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY D DEMONSTRATION PROJECTS ONLY?
- Is the benefits tracking plan reasonable and does it meet the requirements in Section V, ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY D DEMONSTRATION PROJECTS ONLY?
- If monitoring baseline utility system operation is necessary to document system benefits, does the Statement of Work include a provision to adequately gather baseline utility operational data?

**Proposer Qualifications (All Categories) -**

- Has the proposer provided evidence of being qualified to perform the proposed work based on the qualifications of the organization(s) and the involved individual(s)?
- Were resumes of key individuals included in the proposal?
- To what degree does the proposer have the necessary technical and business background and experience?
- Does the team include a New York State business, thereby providing economic benefits in the form of jobs?
- Has the proposer provided evidence of good past performance on other relevant projects?
- Is the proposing team appropriately organized?
- Are staff allocations and responsibilities reasonable?

**Project Cost and Value (All Categories) -**

- Is the overall project cost justified and reasonable based on the level of effort proposed and the expected outcome and benefits?
- How significant is the potential market opportunity relative to the project cost?
- How appropriate are the proposer's co-funding contributions (sources and amounts) with respect to the degree of risk, potential to benefit from the work, and financial status of the organization?
- How firm are the commitments and support from essential participants, co-funders, and related businesses and other organizations?
- Are the overhead rates reasonable and supported with appropriate documentation?
- Are equipment, facility, material, and travel costs based on reasonable estimates?
- Are the labor rates reflective of the industry?

**Technology Transfer / Repeatability (All Categories) –**

- Does the proposed technology have commercial applications at other New York State sites?
- Does the proposed project demonstrate an effective strategy and strong potential for the project to lead to future use of the technology in New York?
- Does the proposed technology address market needs?

**Business/Commercialization Plan (Category C only) -**

- Is the proposed product or concept likely to be successful?
- Are there sufficient markets or needs for the concept/technology?
- Does the proposed project address customer needs?
- Are the business and commercialization or replication plans appropriate for the type of project and stage of development?
- How significant are the barriers to market entry?
- Does the proposer demonstrate a clear understanding of the steps required to overcome these barriers?
- Have customers been identified and consulted regarding the value of the technology or solution?"
- Is the value proposition of the technology well matched to the expressed needs of the customer segments being targeted?
- Does the proposal identify competing and alternate solutions, and clearly show why this product or concept is superior to, price competitive with, or provides value compared to alternative products or solutions?  
If follow-on financial resources are necessary, are plans to raise necessary financial resources likely to be successful?
- How well are the project tasks directed at identifying and fulfilling customer requirements? How far will execution of the work plan take the product to full commercialization?
- Would achievement of technical and business goals position the company to raise capital or realize revenue from the product before NYSERDA funding is exhausted?

**Other Considerations** – Proposals will be reviewed to determine if they reflect NYSERDA's overall objectives, including: risk/reward relationships, similar ongoing or completed projects, and the general distribution of projects among categories, technologies, industries and other organizations, and geographically within New York State.

## ***VII. RECOUPMENT AND METRICS***

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**Recoupment.** For any new projects **exceeding \$100,000** that involve product development, including business development (see definition below), **NYSERDA will require a royalty based on sales and/or licensing of the new product developed** (Please see Attachment F, Sample Agreement for specific recoupment obligations).

Product Development: the method of bringing a new or improved product, system, or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement. Projects where NYSERDA's share of funding is \$100,000 or less will generally not require recoupment. However, should subsequent funds be awarded for further product development of the same or a substantially similar product, any funds previously received under the \$100,000 threshold will be added to the future recoupment obligation. Please note: NYSERDA may decline to contract with awardees that are delinquent with respect to recoupment payments or sales reporting for any previous NYSERDA agreement.

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

## ***VIII. GENERAL CONDITIONS***

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

### **OMNIBUS PROCUREMENT ACT OF 1992**

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

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

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

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

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

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

**Tax Law Section 5-a** - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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, at its sole discretion, will decide whether to contract successful projects using time and material or milestone payment terms. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. NYSEDA expects to notify proposers in approximately 10 weeks from the proposal due date whether your proposal has been selected to receive an award. **NYSEDA may decline to contract with awardees who are delinquent with respect to any obligation under any previous or active NYSEDA agreement.**

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

#### **DISCLOSURE REQUIREMENT**

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



## ***IX. Attachments***

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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 – Proposal Narrative Format**

**Attachment C1 - Statement of Work Format**

**Attachment C2 – Business Model Canvas Template**

**Attachment C3 – TRL-CRL Calculator Workbook**

**Attachment C4 – 3 Year Financial Projection Worksheet**

**Attachment D - Contract Pricing Proposal Form (CPPF)**

**Attachment D1 – Contract Pricing Proposal Form (Excel)**

**Attachment E - Sample Product Development Metrics**

**Attachment E1 – Sample Demonstration Metrics**

**Attachment E2 – Sample Information Dissemination Metrics**

**Attachment F - Sample Agreement with Exhibits**

**Attachment G – Instructions for Electronic Proposal Submission**



**Electric Power Transmission and Distribution (EPTD)  
Distributed Energy Resource Integration  
Program Opportunity Notice (PON) 3404  
Up to a total of \$3.5 Million Available**

**Proposals Due: November 28, 2016 by 5:00 PM Eastern Time \***

The New York State Energy Research and Development Authority (NYSERDA) invites proposals to support the development, demonstration, and commercialization of innovative technology and techniques to facilitate the interconnection of distributed energy resources (DER) to the electric grid. Proposals seeking to lower interconnection burdens for commercial and industrial scale (>200 kW) solar photovoltaic systems will be given preference. All proposals must address DER interconnection as discussed later in this solicitation.

Proposals will be evaluated on the basis of their potential for interconnection cost reduction and ability to increase DER penetration. Up to \$3,500,000 of NYSERDA funding is available. All, some, or none, of the available funds may be awarded. NYSERDA may increase the available funding at a later date.

Examples of preferred innovations include, but are not limited to, the following:

- **Alternatives or lower cost options for islanding protection (alternatives to direct transfer trip)**
- **Alternatives or lower cost options for neutral overvoltage protection (alternatives to 3Vo relaying)**
- **Advanced monitoring and control of distributed energy resources**
- **Applications of smart inverter functionality leading to higher allowable DER penetration**

NYSERDA is accepting proposals in the following categories:

Category	Maximum NYSERDA Funding Per Award	Total Project Cost Share
<b>Category A: Research Studies</b>	<b>\$400,000</b>	<b>25%</b>
<b>Category B: Engineering Studies</b>	<b>\$400,000</b>	<b>25%</b>
<b>Category C: Product Development</b>	<b>No limit</b>	<b>50%</b>
<b>Category D: Demonstration Projects</b>	<b>No limit</b>	<b>50%</b>

**Proposal Submission:** Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. Whether submitted electronically or by mail or hand delivery, proposals must be received by NYSERDA by 5:00 PM Eastern time on November 28, 2016. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON’s webpage, which is located in the “Current Opportunities” section of NYSERDA’s website (<http://www.nysERDA.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in that section as Attachment G to this PON.

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

and submitted to: **Jillina Baxter, PON 3404, New York State Energy Research and Development Authority, 17 Columbia Circle, Albany, NY 12203-6399**. Technical programmatic questions should be directed to Dave Crudele, 518-862-1090 ext: 3095 ([dave.crudele@nyserda.ny.gov](mailto:dave.crudele@nyserda.ny.gov)). 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 Dave Crudele, (518) 862-1090 ext: 3095. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

\* Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the bidder's responsibility to ensure that all pages have been included in the proposal. Faxed or emailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site: [www.nyserda.ny.gov](http://www.nyserda.ny.gov) and in the Contract Reporter.

## ***I. INTRODUCTION***

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Innovation that increases grid capacity to interconnect and expand the use of clean distributed energy resources is a necessary component of a comprehensive strategy to achieve the goals of the New York State Energy Plan, Clean Energy Standard, and the Reforming the Energy Vision (REV) initiative. The Electric Power Transmission and Distribution DER Integration Program, funded through the Clean Energy Fund<sup>1</sup> authorized by the Public Service Commission, will make investments in research that advances methods, technology, and industry knowledge to reduce the cost, complexity, and time to interconnect distributed energy resources with New York's electric grid.

This Electric Power Transmission and Distribution DER Integration Program solicitation is issued for technology areas including, but not limited to: DER islanding prevention, neutral overvoltage protection, advanced DER monitoring and control, and application of smart inverters to address interconnection challenges. Proposals that demonstrate the potential to lower interconnection burdens for commercial and industrial scale DER (>200 kW) will be given preference. Activities include demonstration projects, product development and studies that lower interconnection costs, facilitate faster DER interconnection, reduce the need for utility infrastructure upgrades, and allow for higher penetration of DER in the New York State electric grid. Projects that support DER interconnection both within and outside of the six NY regulated electric service territories (Consolidated Edison, Orange and Rockland, New York State Electric and Gas, Rochester Gas and Electric, Central Hudson Gas and Electric, and National Grid) and meet the Program Requirements are eligible for funding under this solicitation. This opportunity is designed to support innovation that is enabling with respect to the goals and objectives of the Reforming the Energy Vision (REV) initiative.<sup>2</sup> **All projects must demonstrate broad public benefit.** Projects outside the State's investor-owned utilities' territories must also provide direct energy, environmental, and economic benefits to the ratepayers of the State's investor-owned utilities.

Proposals will be evaluated in select categories and scored on criteria listed in this solicitation. All of the proposals will be reviewed by an investment evaluation panel (IEP) consisting of both internal NYSERDA staff and outside experts. All proposals will be evaluated according to the quality and level of detail provided and must include substantive documentation addressing all evaluation criteria items.

## ***II. PROJECT CATEGORIES***

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<sup>1</sup> <https://www.nyserda.ny.gov/About/Clean-Energy-Fund>

<sup>2</sup> <http://www3.dps.ny.gov/W/PSCWeb.nsf/All/CC4F2EFA3A23551585257DEA007DCFE2?OpenDocument>

This solicitation includes four project categories. **The proposer must indicate under which category they are proposing.** Proposers should give careful consideration to which category they choose to propose under, as inappropriate choices negatively affect project selection results. Proposers are encouraged to contact NYSERDA (see cover page for instructions) with technical questions to promote complete understanding of the project categories as described below:

**Category A: Research Studies (NYSERDA’s share of funding for any project of this type will be limited to a maximum of \$400,000. Proposer total project cost share at or above 25%.)**

- Research aimed at exploring new policy, business models, regulatory, planning and cost recovery models, advanced concepts, innovative product and/or technology development. Studies that will reduce barriers to the deployment of advanced technologies that reduce the cost, complexity, and time to interconnect distributed energy resources with the electrical power delivery system.

**Category B: Engineering Studies (NYSERDA’s share of funding for any project of this type will be limited to a maximum of \$400,000. Proposer total project cost share at or above 25%.)**

- Engineering studies that assess the feasibility, design and effectiveness of demonstrating new or under-utilized technologies at a New York site. Engineering studies are expected to ultimately lead to widespread technology adoption or a project proposal in a future solicitation under Category D: Demonstration Projects and are intended to support project development activity such as detailed design, site assessment, economic analysis, interconnection and permitting issues associated with potential demonstration projects.

**Category C: New Product Development (Proposer total project cost share at or above 50%.)**

- Development and commercialization of products that reduce the cost, complexity, and time to interconnect distributed energy resources with New York’s electric grid. Note that bench-scale testing and field verification or testing may be included in Category C projects. For Category C proposals technical and economic feasibility studies of the technology must have been completed and must be included in the proposal. Proposers who cannot meet this requirement may consider proposing under Category A. See Section IV(7).

**Category D: Demonstration Projects (Proposer total project cost share at or above 50%.)**

- Demonstrations of new or under-utilized technologies that are past the technology readiness level 3 or above stage. Projects in this category **should not** include technology or product development tasks. If technology or product development tasks are necessary, consider proposing in Category C. Projects in Category D should demonstrate innovative new or under-utilized products or technologies in pioneering applications. Proposals in this category should clearly identify how this project will bring the product or technology closer to commercial realization and how such demonstration will lead to increased use of the technology in New York State. See Section IV(8).

**NOTE: NYSERDA reserves the right to negotiate scope of work, budget and funding levels on all awarded projects. Efforts requesting more than \$250,000 of NYSERDA funds may be phase funded.**

### **III. ELIGIBLE TECHNOLOGIES**

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Recent trends show continued growth in the number, size, and complexity of DER interconnection projects in New York. Innovation supporting DER interconnection is not occurring passively in the scope or scale needed to support the increasing number and size of DER projects requesting to interconnect with New York’s electric grid. As a result, DER projects are increasingly required to make expensive and time consuming electric grid infrastructure upgrades before they can be interconnected. Proposals to this PON must address the increasing cost, complexity, and protracted nature of the interconnection process by furthering innovation intended to reduce interconnection burdens.

Technologies eligible under this solicitation include innovative and under-utilized smart grid and other electric power deliver technologies and studies that facilitate increased DER adoption by reducing interconnection burdens and furthering industry knowledge of how DER interact with the electric grid.

Potential technologies include, but are not limited to:

- (1) Alternatives or lower cost options for islanding protection (alternatives to direct transfer trip)
- (2) Alternatives or lower cost options for neutral overvoltage protection (alternatives to 3Vo relaying)
- (3) Advanced monitoring and control of distributed energy resources
- (4) Applications of smart inverter functionality
- (5) Mitigation of overvoltage associated with DER (i.e. ground fault overvoltage and transient overvoltage)
- (6) Flicker mitigation
- (7) Methods to allow greater DER penetration on the electric grid
- (8) Methods to increase hosting capacity of existing circuits

## ***IV. PROGRAM REQUIREMENTS***

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Projects selected for funding must:

- (1) Address an innovative DER interconnection technology that reduces interconnection burdens, increases allowable DER penetration, or otherwise supports DER adoption under New York's Reforming the Energy Vision (REV) initiative.
- (2) Provide direct and quantifiable energy, environmental, and economic benefits to New York State such as emissions reductions (such as greenhouse gases and criteria air pollutants), clean distributed energy resource deployment, job creation, product manufacturing and sales, increased resiliency and reliability, higher efficiency, and reduced electric costs.
- (3) Include a project budget using the attached Contract Pricing Proposal Form (CPPF) showing total project cost and proposer cost-share. Include a cost-sharing breakdown by project task in the Statement of Work.
- (4) Provide for the sharing of project success by agreeing to pay recoupment, where required, to NYSERDA for any new technology or product development project requesting NYSERDA funding over \$100,000 upon product commercialization, if applicable (see terms and conditions in Attachment F, Sample Agreement).
- (5) Demonstrate that the proposer and/or team of proposers are qualified to carry out the submitted project proposal.
- (6) Provide a strong rationale as to how the project will overcome barriers impeding the implementation or adoption of any new or under-utilized technology.
- (7) For projects that develop technologies or products, emphasize development and/or application of marketable products for near-term commercialization, rather than basic research, provide an assessment of the addressable market, and discuss an appropriate commercialization path and potential for manufacturing in New York State. Note that even in early-stage projects, initial activities focusing on commercialization (or technology deployment) paths and challenges are

essential to assessing benefits, risks, and future resource requirements. Technical and economic feasibility studies of the technology must be included.

- (8) For demonstration projects, clearly identify how this project will bring the product closer to commercial readiness and how such demonstration will lead to increased use of the product in New York State. **Demonstration projects must be installed within New York State. See additional requirements for Demonstration Projects, below.**
- (9) Provide a letter of support and commitment from all funding sources and entities responsible for managing, operating and maintaining all electric delivery infrastructure impacted by project.
- (10) Demonstrate that the project and funding request addresses a current challenge to technology evolution that is not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding. Include a cost and New York statewide public benefit analysis to justify allocation of funds.

### **Other Considerations**

- A proposal may be considered non-responsive if it fails to comply with the requirements of this solicitation. Proposals deemed non-responsive will not be eligible for awards.
- Prior to an award being made, potential contractors may be required to demonstrate: access to financial resources sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.
- Preference will be given to proposers that provide higher cash contributions towards project costs.
- External funding partnerships are encouraged to leverage limited New York State resources. Proposers are encouraged to develop projects that leverage funding with external resources partners such as other research and development organizations.

## ***ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY D DEMONSTRATION PROJECTS ONLY***

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Category D projects selected for funding **must**:

- (1) Have a **New York State demonstration site**.
- (2) Be installed within 18 months of contract.
- (3) Address safety issues, including public safety, that are applicable to the demonstration project.
- (4) Comply with all applicable building, fire, electrical, and interconnection codes, standards, and requirements.
- (5) Provide equipment sensors, instrumentation, and a complete data acquisition system for remote monitoring and reporting as specified below.
- (6) Demonstrate the technology viability and monitor the performance, characteristics, and benefits for a period adequate to meet project goals. If the period is under 18 months, the proposer must discuss why the proposed time is adequate. Unless the proposer demonstrates a compelling reason otherwise, at least 365 operating days of data will be required after commissioning.
- (7) Present an economic analysis of the proposed technology demonstration including an estimated cost/benefit ratio, and a plan to measure the actual cost/benefit ratio during the demonstration.

### **Data Acquisition Requirements for Category D Demonstration Projects Only**

It is the intent of NYSERDA to provide system level operation and performance information, including economic performance information, to the general public on each of the demonstration projects funded under this solicitation. In order to meet this objective, each demonstration project must provide sufficient instrumentation and data

transmittal, and analytical capabilities to allow the collection and analysis of technical and economic performance data.

The demonstration project proposal should include system operating data to be used for evaluation and generation of reports on the overall performance of the technology being demonstrated. Data acquisition sampling rates must be adequate to characterize the benefits and the value proposition of the proposed application. For example, sampling rates for applications designed to enhance power quality or system stability would be much higher than sampling rates for peak shaving or arbitrage applications. In the event that the demonstration system performs multiple activities, the system must provide for the collection of data for all activities. All raw and summary data collected at the project sites must be archived and protected from loss on permanent media.

#### **Benefits Data Tracking and Reporting for Category D Demonstration Projects Only**

Data sufficient to demonstrate the energy, environmental, and economic benefits defined in the proposal must be measured, collected, analyzed, and recorded. For applications that claim multiple benefits, the proposed data and analysis scheme must adequately support the claimed benefit for each of the benefits specified in the proposal.

#### **Reporting Requirements for Category D Demonstration Projects Only**

The proposal must identify the project team member who will be responsible for the preparation and delivery of periodic written project reports. System operational summary information must be generated regularly and be included in progress reports. At a minimum, the system operational summary information must include the following:

- Raw data.
- System performance summary.
- Summary of system reliability and failure rates.
- A written summary of the economic benefit derived for the time period.
- A written summary of all operations and maintenance activities for the time period.
- System dispatch information and use patterns associated with the project, as appropriate.
- Energy consumption breakdown of parasitic loads introduced by the demonstration system, as appropriate.
- System performance under typical utility fault conditions, e.g. lightning strikes, primary phase to ground faults, voltage sags/spikes, electric outages, etc., as appropriate.
- System performance under user fault conditions, e.g. fault in customer plant, as appropriate.

Reports must be generated that consolidate all the information from the reports and summarize demonstration system performance for the preceding year.

#### **Historical Performance Data Reporting for Category D Demonstration Projects Only**

Where appropriate to document project benefits, historical utility system operational data prior to the installation of the demonstration system is required in order to provide credible baseline data on electrical system performance before and after the installation of the demonstration system. Information concerning load profiles, peaks, overloads, faults, power quality events, and any other information required to fully characterize the operation of the electrical utility at the demonstration site prior to installation of the demonstration system must be collected by the proposer for a reasonable period of time. Comparison information must be made part of the progress reports.

## ***V. PROPOSAL REQUIREMENTS***

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**Proposal Submission:** Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. All proposals must be received by NYSERDA by 5:00 PM Eastern time on November 28, 2016. If submitting electronically, proposers must submit the form fillable proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserdera.ny.gov/Funding-Opportunities/Current->

[Funding-Opportunities.aspx](#)). Instructions for submitting electronically are located in that section as Attachment G to this PON.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to: **Jillina Baxter, PON 3404, NYS Energy Research and Development Authority, 17 Columbia Circle, Albany, NY 12203-6399. Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist may be returned.** Faxed or e-mailed copies will not be accepted.

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The proposer's goal should be to concisely present the information needed to fully address the evaluation criteria (see Section VI). Proposals that grossly exceed the word limits or fail to follow the format guidelines may be rejected as non-responsive. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section VIII instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal's standing per the evaluation criteria. Each page of the proposal should state the name of the proposer, the PON number, and the page number. The proposal must be in the following format, with items in the sequence shown.

**1. Proposal Checklist - Complete the specific Proposal Checklist attached as part of this PON, and include it as the front cover of the original and each copy of the proposal.** Please note the following:

1. Indicate whether you accept the standard terms and conditions as contained in the attached Sample Agreement (Attachment F). If you do not accept the standard terms and conditions, provide alternate terms with justification based on the risk and benefit to NYSERDA and New York State. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement.
2. Be sure the individual who is signing the Proposal Checklist is authorized to commit the proposer's organization to the proposal as submitted.
3. Indicate to which category you are proposing on the proposal checklist. Each proposal will be considered for only one category of funding.
4. Do not leave any blanks. If a specific question is not applicable, indicate N/A.

**2. Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k.** In compliance with §139-j and §139-k of the State Finance Law (see Section VIII, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

**3. Proposal Narrative.** Complete the Proposal Narrative form-fillable document as part of the PON (Attachment C). The Funding Category must be clearly indicated. The Proposal Narrative contains the following sections:

- Executive Summary
- Problem Statement and Proposed Solution
  - Attachment C2: Business Model Canvas (Category C, and D)
- State of Research and Technology Targets
  - Attachment C3: TRL/CRL Calculator
- Commercialization Potential of Proposed Product
  - Attachment C4: Three-Year Financial Projects Worksheet (Category C)
- Demonstration Project Information (Category D Only)
- Study Information (Category A and B)
- Statement of Work (Attachment C1) and Schedule
- Project Benefits
- Budget



- Proposer Qualifications
- Letters of Support
- Attachments

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

## ***VI. PROPOSAL EVALUATION***

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Proposals will be reviewed by an Investment Evaluation Panel (IEP) and will be scored and ranked according to the following criteria. In addition to considering how project proposals satisfy the Evaluation Criteria listed below, NYSERDA reserves the right to make funding decisions on the basis of other programmatic reasons such as, but not limited to, NYSERDA’s history/experience with particular contractors, geographic equity/distribution, customer diversity, scale of anticipated impacts, and prospects for learning opportunities. After the proposals are reviewed, NYSERDA will issue a letter to each proposer indicating if the proposal has been selected to enter into contract negotiations with NYSERDA. As part of contract negotiations, the proposer will be required to submit a detailed Statement of Work, budget, and schedule, and may also be asked to address specific questions or recommendations of the IEP before contract award.

### **EVALUATION CRITERIA:**

#### **Problem and Proposed Solution (All Categories) -**

- How significant is the problem or opportunity to New York State?
- Is the proposed work technically feasible, innovative, and superior to alternatives?
- Does the proposal address an eligible technology?
- How well does the proposed solution address the problem or opportunity?
- Are fundamental scientific principles well understood and clearly presented?
- How appropriate are the cost, technical, and performance goals for the proposed technology or product?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs?
- If the proposed work is a follow-on project to a previously co-funded NYSERDA project, what was the outcome of the earlier phase?
- Is the proposed project addressing a current challenge or opportunity that is not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding?

#### **Proposed Work (Category D only) –**

- How significant is the demonstration opportunity to New York State?
- How well does the proposed solution address the problem or opportunity?
- Is the proposed demonstration innovative and is it appropriate that the proposed demonstration be funded under this program as opposed to a NYSERDA program that provides incentives to install certified, commercially-ready technologies?
- Does the proposal address an eligible technology?
- Is the proposed demonstration well-conceived, technically feasible, and superior to alternatives?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs?
- What is the level of commitment of a New York State host site?
- Is an appropriate performance monitoring and data analysis effort included in the proposal?
- If the proposed work is follow-on to a previously co-funded NYSERDA project, what was the outcome of the earlier phase?

#### **New York State Impact and Project Benefits (All Categories) –**

- To what extent does the project support Reforming the Energy Vision (REV) goals, Grid modernization, in general the Clean Energy Standard, and the Clean Energy Fund goals in New York State?
- To what extent will there be economic benefits in New York State in the form of subsequent commercial activity and economic growth?
- Does the proposal include a New York State demonstration site?
- To what extent does the proposal involve the participation of one or more utilities?
- Are the appropriate letters of support and/or commitments included in the proposal?
- How well are the potential benefits to New York State quantified?
- How likely is it that the projected benefits will be realized?
- Does the proposed project have favorable energy, efficiency, environmental and economic impacts in New York State? How significant are these impacts?
- To what extent will there be economic benefits in New York State in the form of subsequent commercial activity?
- Are the technical risks identified, appropriately addressed, and balanced by project benefits?
- Does the proposal address an innovative electric power delivery technology that improves performance, quality or reliability / resiliency?

**Statement of Work and Schedule (All Categories) -**

- How appropriate are the technical and performance goals for the proposed project?
  - Do the proposed technical and performance goals adequately allow for measurement and verification of the success of the proposed project?
  - Is the work strategy in the Statement of Work sound and likely to achieve the technical and performance goals?
  - Does the Statement of Work include an economic analysis of the technology based on performance measurements?
  - Is the Statement of Work well organized, complete, and appropriate for the goals identified?
  - How realistic is the schedule for achieving the goals of the proposed project?
  - Is the proposed level of effort reasonable to complete the proposed project?
  - Are the proposed milestones reasonable?
- (Category D Only) –
- Are the data acquisition, monitoring, and reporting plans reasonable and do they meet the requirements in Section V, ‘ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY D DEMONSTRATION PROJECTS ONLY’?
  - Is the benefits tracking plan reasonable and does it meet the requirements in Section V, ‘ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY D DEMONSTRATION PROJECTS ONLY’?
  - If monitoring baseline utility system operation is necessary to document system benefits, does the Statement of Work include a provision to adequately gather baseline utility operational data?

**Proposer Qualifications (All Categories) -**

- Has the proposer provided evidence of being qualified to perform the proposed work based on the qualifications of the organization(s) and the involved individual(s)?
- Were resumes of key individuals included in the proposal?
- To what degree does the proposer have the necessary technical and business background and experience?
- Does the team include a New York State business, thereby providing economic benefits in the form of jobs?
- Has the proposer provided evidence of good past performance on other relevant projects?
- Is the proposing team appropriately organized?
- Are staff allocations and responsibilities reasonable?

**Project Cost and Value (All Categories) -**

- Is the overall project cost justified and reasonable based on the level of effort proposed and the expected outcome and benefits?
- How significant is the potential market opportunity relative to the project cost?

- How appropriate are the proposer's co-funding contributions (sources and amounts) with respect to the degree of risk, potential to benefit from the work, and financial status of the organization?
- How firm are the commitments and support from essential participants, co-funders, and related businesses and other organizations?
- Are the overhead rates reasonable and supported with appropriate documentation?
- Are equipment, facility, material, and travel costs based on reasonable estimates?
- Are the labor rates reflective of the industry?

**Technology Transfer / Repeatability** (All Categories) –

- Does the proposed technology have commercial applications at other New York State sites?
- Does the proposed project demonstrate an effective strategy and strong potential for the project to lead to future use of the technology in New York?
- Does the proposed technology address market needs?

**Business/Commercialization Plan** (Category C only) -

- Is the proposed product or concept likely to be successful?
- Are there sufficient markets or needs for the concept/technology?
- Does the proposed project address customer needs?
- Are the business and commercialization or replication plans appropriate for the type of project and stage of development?
- How significant are the barriers to market entry?
- Does the proposer demonstrate a clear understanding of the steps required to overcome these barriers?
- Have customers been identified and consulted regarding the value of the technology or solution?" "Is the value proposition of the technology well matched to the expressed needs of the customer segments being targeted?
- Does the proposal identify competing and alternate solutions, and clearly show why this product or concept is superior to, price competitive with, or provides value compared to alternative products or solutions?
- If follow-on financial resources are necessary, are plans to raise necessary financial resources likely to be successful?
- How well are the project tasks directed at identifying and fulfilling customer requirements? How far will execution of the work plan take the product to full commercialization?
- Would achievement of technical and business goals position the company to raise capital or realize revenue from the product before NYSERDA funding is exhausted?

**Other Considerations** – Proposals will be reviewed to determine if they reflect NYSERDA’s overall objectives, including: risk/reward relationships, the general distribution of projects among categories, technologies, industries and other organizations, and geographically within New York State. NYSERDA may decline to fund proposals that duplicate or are similar to other proposals or ongoing or completed projects,

## **VII. RECOUPMENT AND METRICS**

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**Recoupment.** For any new projects **exceeding \$100,000** that involve product development, including business development (see definition below), **NYSERDA will require a royalty based on sales and/or licensing of the new product developed** (Please see Attachment F, Sample Agreement for specific recoupment obligations).

Product Development: the method of bringing a new or improved product, system, or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement. Projects where NYSERDA’s share of funding is \$100,000 or less will generally not require recoupment. However, should subsequent funds be awarded for

further product development of the same or a substantially similar product, any funds previously received under the \$100,000 threshold will be added to the future recoupment obligation. Please note: NYSERDA may decline to contract with awardees that are delinquent with respect to recoupment payments or sales reporting for any previous NYSERDA agreement.

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

## **VIII. GENERAL CONDITIONS**

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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 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>[Regulations.ashx](#). However, NYSERDA cannot guarantee the confidentiality of any information submitted.

### **OMNIBUS PROCUREMENT ACT OF 1992**

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

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

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

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

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

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

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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, at its sole discretion, will decide whether to contract successful projects using time and material or milestone payment terms. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. NYSERDA expects to notify proposers in approximately 10 weeks from the proposal due date whether your proposal has been selected to receive an award. **NYSERDA may decline to contract with awardees who are delinquent with respect to any obligation under any previous or active NYSERDA agreement.**

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

#### **DISCLOSURE REQUIREMENT**

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

## ***IX. Attachments***

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**Attachment A - Proposal Checklist**

**Attachment B - Disclosure of Prior Findings of Non-responsibility (mandatory)**

**Attachment C – Proposal Narrative Format**

**Attachment C1 - Statement of Work Format**

**Attachment C2 – Business Model Canvas Template**

**Attachment C3 – TRL-CRL Calculator Workbook**

**Attachment C4 – 3 Year Financial Projection Worksheet**

**Attachment D - Contract Pricing Proposal Form (CPPF)**

**Attachment D1 – Contract Pricing Proposal Form (Excel)**

**Attachment E - Sample Product Development Metrics**

**Attachment E1 – Sample Demonstration Metrics**

**Attachment E2 – Sample Information Dissemination Metrics**

**Attachment F - Sample Agreement with Exhibits**

**Attachment G – Instructions for Electronic Proposal Submission**

Applications for installation of CHP systems 3MW and smaller accepted through 5:00 PM ET on December 31, 2018\*\*

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

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

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

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

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

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

**Application Submission:** Digital copies of required documentation may be submitted via email to [CHP@nyserdera.ny.gov](mailto:CHP@nyserdera.ny.gov) with the subject line "PON 2568 Application for [site name]", or on compact disc mailed to the following address.

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

**CHP Inquiries:**

Please direct Program questions to: Paul Vainauskas 518 862-1090 ext. 3554, [paul.vainauskas@nyserdera.ny.gov](mailto:paul.vainauskas@nyserdera.ny.gov)  
Please direct Contractual questions to: Venice Forbes, 518 862-1090 ext. 3507, [venice.forbes@nyserdera.ny.gov](mailto:venice.forbes@nyserdera.ny.gov)

\* As of January 1, 2017, approximately \$21M remains available for new applications.

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

## Introduction

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

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

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

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

ERS Inc.  
Gita Subramony  
212-789-8182 x 292  
[gsubramony@ers-inc.com](mailto:gsubramony@ers-inc.com)

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

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

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



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

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

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

1. ERS can help customers through the process of issuing a request for vendor bids.
2. Based on the results of either the preliminary analysis or a detailed study, investigate options in the CHP Catalog (<https://www.nyserderda.ny.gov/-/media/Files/FO/Current-Funding-Opportunities/PON-2568/2568attc.pdf>).
3. Gauge vendor interest.
4. Invite vendors to tour the site so that they can formulate and submit detailed proposals with price estimates and procurement style (e.g., buy, lease, power purchase agreement, etc.).

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

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

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

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

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

## Program Requirements

The New York State Energy Research and Development Authority (NYSERDA) will provide financial incentives for the installation of grid-connected CHP systems at customer sites that pay the System Benefits Charge (SBC) on their electric bill, or if new construction, will pay the SBC surcharge on the electric bill once interconnected. Incentive funds will be allocated on a project-by-project, first-come-first-served basis in the order of receipt of full and complete applications for projects up to 3MW until December 31, 2018 or until all funds are committed, whichever comes first. The maximum incentive per project, including bonuses, is \$2.5M. Please note that this program will not provide funding for the installation of a CHP System with an aggregate size over 3 MW or for the first 3 MW of a larger system.

### CHP System

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

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

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

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

### CHP Catalog Approach

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

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

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

### Custom Approach

Customers with larger electric and thermal loads that have requirements that are not adequately met through the CHP Catalog, or by using variants of the equipment from the pre-approved Vendors, may use an optional Custom Approach. Under this approach, NYSERDA will accept applications from the site owner, the CHP System owner, or any member of the project team that is willing and capable of taking responsibility for the proper design, integration, installation, commissioning and maintenance of the CHP System. NYSERDA will contract only with the applicant. The Custom Approach is available for projects 1MW and larger in size.

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

### **Black-Start Capability**

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

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

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

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

Examples:

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

### **Conservative CHP System Sizing Guidelines**

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

### **Base Incentives**

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

The incentive regions are defined as:

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

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

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

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

### **Bonus Incentives**

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

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

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

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

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

### **Increased Resiliency – The N+1 Option**

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

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

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

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

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

### **Back Pressure Steam Turbines (BPST)**

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

### **Organic Rankine Cycle (ORC) Generators**

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

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

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

### **Project Requirements**

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

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

If the site is located within a 500-year flood zone as shown on an approved or proposed FEMA flood zone map, then the CHP System, including all components required for proper operation (pumps, controls, switch gear, etc.) must be located above the expected 500-year flood level. NYSERDA may wave this requirement on a case-by-case bases for sites located within a 500-year flood zone, but outside of a 100-year flood zone if a flood mitigation plan acceptable to NYSERDA is provided.

The CHP System prime mover(s) cannot produce more than 1.6 lbs-NO<sub>x</sub>/MWh (pounds of NO<sub>x</sub> per megawatt hour of electric production) at any point over the entire operating range of the system.

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

### **Recommissioning**

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

### **Monitoring**

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

### **Project Schedule – CHP Systems less than 1MW.**

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

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

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

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

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

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

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

### **Incentive Payment Schedule**

Incentive payments will be made as follows:

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

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

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

## Application Requirements

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

### Required Documentation

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



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

## **Application Review**

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

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

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

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

### **Program Funding**

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

### **Coordination of Public/Utility Funding**

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

## **General Conditions**

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

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

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

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

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

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

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

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

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

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

**Tax Law Section 5-a** - 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>.

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

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

## **Attachments**

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

Attachment A - Application

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

Attachment C - CHP Catalog

Attachment D - Sample Agreement

Attachment E - Incentive Calculator

## Industrial Strategic Energy Management: Pilot Solicitation Program Opportunity Notice (PON) 3411

**Applications accepted through March 31, 2017\*  
by 5:00 PM Eastern Time**

**Program Summary:** This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3411 seeks applications from Industrial facilities that are interested in participating in a fully-funded, year-long Strategic Energy Management (“SEM”) pilot (the “Pilot”). By participating in the Pilot, the industrial facility will gain access to training, coaching, and peer-to-peer knowledge sharing to continuously enhance energy efficiency at their facilities. This solicitation is intended as an initial Pilot to expand awareness and uptake of Strategic Energy Management in industrial facilities in New York. Participation in the Pilot will be offered to industrial sites with an energy spend of \$500,000 or more (all fuels). Pilot Participants must be willing to share results and lessons learned to further the Pilot’s objective of increasing the penetration of Strategic Energy Management at industrial facilities. Applications will be evaluated every three (3) weeks. Awards will be made to the first eleven (11) successful qualifying sites.

**Informational Meetings:** NYSEDA will hold two non-mandatory, informational sessions to provide an overview of the solicitation and answer questions. Questions must be submitted in advance. Please visit PON 3411 at <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx> for dates, times, instructions, and details.

**Application Submission:** Applications will be accepted through March 31, 2017 or until eleven (11) Pilot Participants are selected, whichever happens first. Applications may be submitted by mail or electronically online.

**Submittal by Mail:** Send two (2) clearly labeled, completed and signed application forms, one of which must contain an original signature, to:

**Jillina Baxter, PON 3411  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

**Submittal Electronically:** Instructions for submitting electronically are located as Attachment D to this PON. When submitting electronically, application documents must be in PDF, MS Excel, or MS Word format with a completed and signed Participant Information and Participation Agreement and Strategic Energy Management Application package with all required documentation. Application PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. All electronic files must be named using the Participant’s entity name in the title of the document. Applications 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 NYSEDA’s website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

All Program questions should be directed to: Kathleen Dooley, 518-862-1090 x3475, [Kathleen.Dooley@nyserda.ny.gov](mailto:Kathleen.Dooley@nyserda.ny.gov) or Megan Fisher, 212-971-5342 x3627, [Megan.Fisher@nyserda.ny.gov](mailto:Megan.Fisher@nyserda.ny.gov). All Contractual questions should be directed to: Nancy Marucci, at 518-862-1090 x3335, or [Nancy.Marucci@nyserda.ny.gov](mailto:Nancy.Marucci@nyserda.ny.gov).

\*Late, incomplete, or unsigned applications will be returned. Faxed or e-mailed applications will not be accepted. Applications will not be accepted at any other NYSEDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSEDA’s website at [www.nyserda.ny.gov](http://www.nyserda.ny.gov).

## I. INTRODUCTION

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This solicitation is divided into the following components:

1. Section I: Introduction
2. Section II: Definitions
3. Section III: Program Description
4. Section IV: Eligibility
5. Section V: Application Requirements
6. Section VI: Application Evaluation
7. Section VII: General Considerations
8. Section VIII: Attachments

The Industrial Strategic Energy Management (SEM) Pilot will contribute to New York State Energy Plan goals for energy efficiency and emission reductions. The Pilot will also prove the value of SEM at industrial facilities such that integrating energy management as a core business practice and applying principles of continuous improvement will foster substantial, long-term savings. SEM is a holistic approach to managing energy use which goes beyond the sporadic implementation of energy efficiency improvements. Industrial facilities that participate in the Pilot will, among other things, develop tools for continuous SEM integration including:

- an energy assessment specific to their facility
- an energy map or model for their plant or process
- a list of identified energy savings opportunities and an implementation plan
- a plan for employee engagement
- long term energy savings goals
- dedicated staff including an Energy Champion, and
- a method for systematic measurement and reporting of energy performance.

The purpose of the Solicitation is to obtain qualified Participants to undergo SEM training. Data gathered from the Pilot will be used to prove the business case for SEM and to disseminate case studies, tools, and resources to the market for broader adoption. Pilot Participants are required to share challenges, success stories, and best practices to facilitate this market transformation activity.

NYSERDA will fund the Pilot, which will consist of a cohort of no more than eleven industrial facilities, to guide manufacturers through the process of establishing and implementing a SEM system. Participants will receive this training at no cost to them. Cohort 1 is expected to start in early 2017. A second cohort with additional Participants may be conducted at NYSERDA's discretion.

## II. DEFINITIONS

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**Participant:** The entity awarded to participate in an Industrial SEM Pilot. If desired, Participants may partner with a consultant who may participate in the trainings with them and support the implementation of SEM at their facility.

**Energy Champion:** The Participant staff member responsible for attending the cohort sessions, receiving training from the *Energy Coach*, sharing information with the *Energy Team*, and leading the SEM effort at their facility. Should understand the manufacturing process and is empowered to reduce energy intensity and transfer the knowledge to the wider organization.

**Energy Coach:** Firm under contract with NYSERDA through RFP 3352 to provide SEM training at each cohort session and technical assistance to Participants throughout the Pilot.

**Energy Team:** Successful Energy Teams generally are comprised of individuals from multiple levels of the organization who have knowledge about existing systems (production, capital project planning, facilities and maintenance, financial, etc.) and management support to participate in this effort. The Energy Team includes the *Energy Champion*, *Executive Sponsor*, and key facility and operational staff. Finance, marketing, and other areas are also important to consider to ensure that the Energy Team understands the Participant's financial decision-making requirements for any projects requiring capital, as well as the elements of behavioral initiatives. The Energy Team is expected to continue beyond the Pilot.

**Executive Sponsor:** A member of the Participant's executive management (President, CEO, COO, CFO, etc.) who has the authority to commit to undergoing SEM at the facility, commit to devoting staff time to this endeavor, and support projects and trainings that are critical to implementation of SEM.

### III. PROGRAM DESCRIPTION

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This initiative is a structured series of NYSERDA-funded 'learn-by-doing' trainings that focus on behavioral and operational changes to equip and enable plant management and staff to reduce energy intensity over time. The SEM Pilot will consist of ten (10) training sessions, led by the Energy Coach, over twelve (12) months. The sessions will be a combination of in-person and web-based events. Participants will learn to identify areas for improvement, drive managerial and corporate behavioral changes with respect to energy, and develop the mechanisms to track and evaluate energy optimization efforts versus other business investment opportunities.

The training sessions will cover topics including:

- Introduction to SEM;
- Conducting a review of existing energy management practices;
- Identifying energy and production drivers, including energy end-uses and costs across the facility;
- Developing strategies to engage employees;
- Driving managerial and corporate behavioral changes;
- Identifying and managing efficiency opportunities;
- Creating an action plan for energy management both short- and long-term;
- Creating the infrastructure for a sustainable SEM Program at the facility after the Pilot concludes; and
- Developing skills for energy monitoring, tracking and reporting.

#### **Program Deliverables:**

##### *During Pilot*

- Participation in all 10 training session over 12 months;
- Monthly deliverables as assigned during cohort training sessions;
- Development of facility metrics and goals;
- Identification of energy savings opportunities and corresponding Project List and Action Plan;
- Annual energy savings report documenting results from efficiency projects; and
- Peer-to-peer sharing with other cohort members.

##### *Post Pilot*

- Periodic check-ins, no less frequently than quarterly, with NYSERDA staff and the Energy Coach via phone conference for one year following the Pilot;
- Quarterly updates to the site's project list and action plan with energy savings results from energy projects for the length of the Participation Agreement;
- Support development of case study, including savings metrics, for online publishing; and
- Future sharing of information as needed for Pilot evaluation.

### IV. ELIGIBILITY

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Eligible Pilot Participants include NYS industrial facilities with annual energy costs that exceed \$500,000 and that contribute to the System Benefits Charge (SBC) on utility bills. In addition, Energy Champions must have the ability to travel to cohort meetings to receive the SEM trainings.

Customers may not participate in both NYSERDA's Industrial On-site Energy Manager Pilot and SEM Pilot at the same time.

## V. APPLICATION REQUIREMENTS

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Strategic Energy Management Application package, required documentation:

1. Current, complete utility bill documenting payment into SBC
2. Attachment A: Industrial Strategic Energy Management Application
3. Attachment B: NYSERDA Participation Agreement, signed by the Facility
4. Attachment C: Letter of Commitment from the Executive Sponsor

## VI. APPLICATION EVALUATION

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Applications that meet Application Requirements will be reviewed every three (3) weeks by a Scoring Committee using the Evaluation Criteria identified below. After the applications are reviewed, NYSERDA will issue a letter to each proposer indicating the evaluation results no later than 6 weeks after NYSERDA receipt. The goal of the selection process is to identify the industrial facilities that are most qualified and positioned for success in implementing SEM at their facility. 70 points is the minimum threshold for acceptance out of 100 points.

### Participant Commitment

- Potential Participant demonstrates strong commitment from an Executive Sponsor to support pursuing long-term strategic energy management – up to 10 points
- Potential Participant demonstrates commitment to investing capital in energy efficiency improvements – up to 10 points
- Potential Participant identifies personnel available to devote to pursuing strategic energy management (including the Energy Champion and Energy Team) – up to 5 points
- Potential Participant demonstrates enthusiasm for behavioral, organizational, and business-process change resulting from strategic energy management – up to 5 points
- Willingness to host a cohort meeting at your facility – up to 5 points

### Energy Efficiency Savings Potential

- Potential Participant demonstrates they have high energy usage and/or cost – up to 10 points
- Potential Participant indicates that energy is a high cost relative to other organizational costs – up to 5 points
- Potential Participant has multiple locations across NYS – up to 5 points

### Knowledge

- Potential Participant demonstrates energy efficiency competency through the successful implementation energy efficiency projects and activities – up to 10 points
- Potential Participant tracks energy data in their facility – up to 10 points
- Existing energy policy, corporate energy goals, sustainability plan, or sustainability reporting – up to 5 points
- Participation in energy-focused initiatives (e.g. Factory of the Future or Better Plants) – up to 5 points

### Culture

- Company has a practice of celebrating success – up to 5 points
- Company has an internal training structure in place – up to 5 points
- Experience with systematic behavioral management systems (e.g. ISO9000, lean, TQM, 5S, Six Sigma, Kaizen, etc.) – up to 5 points

**Programmatic Considerations:** In order for the Pilot to be as compelling as possible to the NYS market, NYSERDA may consider the following Program Policy Factors in making award selection decisions:

- Diversity of awards, including location and industrial sector
- Existing energy management information system



**Accepted Applications:** Selected Participants will be notified and the Participation Agreement (Attachment B) will be co-signed by NYSERDA and sent back to the Participant for their records. The Scoring Committee will meet every three (3) weeks and evaluation results will be returned to Participants no later than 6 weeks after NYSERDA receipt.

**Denied Applications:** Participants whose applications are denied may request a de-briefing and may reapply. Sites whose applications are denied twice may not reapply for that cohort, but may apply to a future cohort.

## **VII. GENERAL CONSIDERATIONS**

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

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

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>.

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA expects to notify Participants in approximately six (6) weeks from the receipt of an application whether your application has been selected to receive an award.

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing an 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.

## **VIII. ATTACHMENTS**

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- Attachment A: Strategic Energy Management Cohort Participant Application
- Attachment B: Participation Agreement
- Attachment C: Letter of Commitment Requirements
- Attachment D: Instructions for Submitting Electronic Applications



## REV Campus Challenge Technical Assistance for Roadmaps

Program Opportunity Notice PON 3438

**\$ 2 million available**

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

Applications accepted on a first come, first served basis through July 31, 2018 by 5:00 PM Eastern Time or until funding is exhausted.

The REV Campus Challenge is part of Governor Andrew M. Cuomo’s Reforming the Energy Vision (REV), a strategy to build a clean, resilient, and affordable energy system for all New Yorkers. The REV Campus Challenge recognizes achievements among institutions of higher education and enables exchange of best practices and lessons learned. The REV Campus Challenge aims to help colleges and universities meet their financial, environmental, academic, and community goals through clean energy solutions that also help scale up total clean energy use in New York State.

The **REV Campus Challenge Technical Assistance for Roadmaps (the “Program”)** supports REV Campus Challenge members by enabling them to hire a third party energy consultant to aid in the evaluation of existing energy-related conditions on campus and establish a plan for managing changing campus energy needs (“Roadmap”). REV Campus Challenge members can apply to receive up to \$150,000 per member in NYSDERDA cost-shared funding.

This Program is administered through the REV Campus Challenge and therefore only REV Campus Challenge members are eligible to apply. REV Campus Challenge members must pay into the electric System Benefits Charge (SBC) to be eligible. If you are a REV Campus Challenge member interested in this Program, but do not meet this eligibility criterion, please contact NYSDERDA.

### **How to Apply:**

Program funding requests **must be** submitted to [commercialprograms@nysderda.ny.gov](mailto:commercialprograms@nysderda.ny.gov) and include the following:

- Technical Assistance for Roadmaps Application (Attachment A)
- Scope of work including a schedule and budget (see Section III Application Requirements)
- Collaborative Commitment(s) – as applicable, for use when REV Campus Challenge members are collaborating on a single Application (Attachment C)

Program questions can be directed to: Lindsay Holle, 518-862-1090 ext. 3051,

[revcampuschallenge@nysderda.ny.gov](mailto:revcampuschallenge@nysderda.ny.gov).

Contractual questions should be directed to: Venice Forbes, 518-862-1090 ext. 3507,

[Venice.Forbes@nysderda.ny.gov](mailto:Venice.Forbes@nysderda.ny.gov).

NYSDERDA 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 NYSDERDA’s website at [www.nysderda.ny.gov](http://www.nysderda.ny.gov).

## Introduction

Launched in October 2015, the REV Campus Challenge promotes clean energy efforts by recognizing and supporting NYS institutions of higher education that implement clean energy projects on campus, in the classroom, and in surrounding communities. Workshops held with REV Campus Challenge members in Spring 2016 identified that many NYS colleges and universities have not set carbon or energy reduction goals and, moreover, have not established a baseline or action plan to address campus energy usage and resulting greenhouse gas (GHG) emissions.

The objective of this Program is to kick-start campus clean energy progress by enabling institutions to hire an energy consultant to aid in the evaluation of existing energy-related conditions on campus and establish a plan for managing changing campus energy needs.

**Participant level** REV Campus Challenge members – those institutions that are interested in pursuing clean energy goals, but have made little to no progress – are the target audience for this Program, although all REV Campus Challenge members are eligible to apply. Institutions at this early membership level pose the greatest opportunity for clean energy implementation.

This Program is administered through the REV Campus Challenge and therefore only REV Campus Challenge members are eligible to apply. REV Campus Challenge members must pay into the electric System Benefits Charge (SBC) to be eligible. If you are a REV Campus Challenge member interested in this Program, but do not meet this eligibility criterion, please contact NYSERDA at [revcampuschallenge@nyserda.ny.gov](mailto:revcampuschallenge@nyserda.ny.gov).

## II. Program Details

### Funding

\$2 million is available through this Program. Funding will be administered as follows:

1. For projects with scope of work budgets less than or equal to \$10,000, NYSERDA will pay 100% of the eligible energy consultant costs.
2. For projects with scope of work budgets greater than \$10,000, NYSERDA cost-sharing will vary based on the type and cost of assistance being sought.

\*See Table 1: Eligible Scope of Work Activities for more information on cost-sharing.

Funding is capped at \$150,000 per REV Campus Challenge member.

Funding must be used to hire a third party energy consultant to complete work as detailed in a scope of work that supports the objective of this Program. Funding must be used for the technical assistance services identified in the final scope of work only. At NYSERDA's discretion, cost-sharing may be available for non-energy sustainability measures.

Costs associated with the development and submittal of an Application to this Program are NOT eligible for cost-share. Any portion of the scope of work commenced prior to issuance of a purchase order from NYSERDA is NOT eligible for reimbursement. The scope of work must be ready to commence within three (3) months of the issued NYSERDA purchase order date.

NYSERDA reserves the right to cancel or prorate NYSERDA cost-share based upon scope of work deliverables not being met.

### **Applicant Responsibilities**

Applicants must be current REV Campus Challenge members and identify an energy consultant with whom they will partner to complete the scope of work. Applicants may use their own energy consultant, or may choose from NYSERDA's list of FlexTech Consultants.

- Visit [www.nyserderda.ny.gov/rev-campus-challenge/](http://www.nyserderda.ny.gov/rev-campus-challenge/) to become a REV Campus Challenge member.
- Visit [www.nyserderda.ny.gov/flextech](http://www.nyserderda.ny.gov/flextech) for the current listing of FlexTech Consultants.

The Applicant must:

- Designate a supervisor (i.e. the institution's REV Campus Challenge point of contact) to oversee the energy consultant and manage the scope of work and deliverables. This designee must be a staff or faculty member currently employed by the respective institution.
- Share best practices, lessons learned, or other information as a means of furthering clean energy planning and adoption on NYS campuses. This could be executed through development of one or more of the following: development of success story, presentation at a REV Campus Challenge workshop or related industry event, on campus presentation, or other identified and agreed upon format.

### **Applicant and Energy Consultant Responsibilities**

The Applicant and their energy consultant must:

- Develop a scope of work (see Section III – Application Requirements).
- Perform the technical assistance services as described in the scope of work.
- Attend periodic project management check-ins via phone call with NYSERDA, at NYSERDA's discretion.
- Provide quarterly reports documenting actions taken and progress toward completion of scope of work activities.
- Identify clear, prioritized follow-up actions as part of a Roadmap for the Applicant to pursue as a means of maintaining momentum toward achieving their clean energy goals. A minimum two (2) year outlook is required and should highlight any activities the institution already has plans to implement.
  - The Roadmap should be developed collaboratively between the Applicant and its energy consultant based on opportunities uncovered during the completion of the scope of work.
  - Roadmaps may further include guidance on:
    - Procuring additional technical services to support clean energy implementation.
    - Hiring of dedicated energy and/or sustainability staff.
    - Establishing an internal sustainability committee to drive success.
    - Other follow-up actions to address opportunities identified during the completion of the scope of work.

## Eligible Scope of Work Activities

The following Table 1: Eligible Scope of Work Activities are supported through this Program. **Contact NYSERDA for further clarification if necessary.**

<b>Table 1: Eligible Scope of Work Activities</b>	<b>NYSERDA Cost Share (% of total activity cost)</b>
Report to voluntary third-party certification organizations (i.e. AASHE STARS, the Climate Commitment, NYC Carbon Challenge)	100%
Baseline building energy consumption	75%
Complete greenhouse gas (GHG) emission inventory	75%
Develop energy master plan	75%
Develop climate action or sustainability plan	75%
Conduct level 2 or level 3 ASHRAE building audit	50%
Identify energy conservation measures	50%
Conduct feasibility assessment and/or financial analyses for clean energy projects	50%
Identify funding opportunities for clean energy projects	50%
Develop grant and/or incentive Applications	50%
Assistance in developing clean energy project contracting and procurement	50%
Permanent meters or permanent sub-meters	50% (Capped at \$10,000 per REV Campus Challenge Member)

Scope of work activities **ineligible** for cost-share include:

- Activities lacking a clear link to achieving GHG emission reductions
- Installation of clean energy projects

NYSERDA reserves the right to adjust the cost-share from the guidelines provided based on actual scope of work activities. The Applicant will be notified in writing of any such changes prior to issuance of a purchase order.

## REV Campus Challenge Member Collaboration

Collaboration amongst REV Campus Challenge members is encouraged. Eligible institutions are strongly encouraged to partner and submit a joint Application with a single energy consultant.

- The Application must designate a single institution to be the lead Applicant. The lead Applicant must:
  - Act as the primary point of contact for NYSERDA for all project-related matters
  - Is responsible for completing and submitting the Technical Assistance for Roadmaps Application (Attachment A)
  - Should coordinate with partnering institutions in developing the scope of work and budget

- Each additional institution(s) must provide a signed Collaborative Commitment (Attachment C).
- The scope of work must clearly identify which tasks apply to each institution. Each institution must identify a supervisor to oversee the completion of relevant tasks.
- Each institution must provide copies of energy consultant invoices to NYSERDA as appropriate.
- Funding provided through this Program is on a per-institution basis, so applying jointly will NOT negatively affect funding provided.

### **Student Intern Bonus**

Student engagement is encouraged. A \$4,000 bonus may be applied to cover the cost of utilizing a student intern(s) to assist in the completion of the Roadmap. REV Campus Challenge members may share student interns. Each REV Campus Challenge member is eligible for one (1) \$4,000 bonus under this Program. This bonus is in addition to the \$150,000 cap above.

- The use of student interns is strongly encouraged to support the execution of the scope of work, as appropriate. Student internships can provide valuable learning opportunities for students.
- Student interns are required to provide a final report on the tasks they completed relevant to the scope of work, which should be submitted as part of the final report.
- Student intern(s) must be managed by a staff or faculty member employed by the REV Campus Challenge member. The designated supervisor will be responsible for coordinating directly with the energy consultant and ensuring the student intern(s) is effectively supporting the completion of the scope of work. In the case where multiple institutions are submitting a joint Application for funding and utilizing the same student intern(s), student intern(s) will be managed by a staff or faculty member employed by their respective institution.
- Requests for the student intern bonus should be noted in the Technical Assistance for Roadmaps Application (Attachment A) and intern work should be clearly identified within the submitted scope of work and budget (Sample Budget Template attached as Attachment B).

## **III. Application Requirements**

### **Application Submission**

Program funding requests must be submitted to [commercialprograms@nyserda.ny.gov](mailto:commercialprograms@nyserda.ny.gov) and include the following:

- Technical Assistance for Roadmaps Application (Attachment A)
- Scope of work including schedule and detailed budget (see Attachment B for a Sample Budget Template)
- Collaborative Commitment(s) – as applicable, from REV Campus Challenge members applying under one Application (Attachment C)

Application forms are available at [www.nyserda.ny.gov/rev-campus-challenge](http://www.nyserda.ny.gov/rev-campus-challenge).

NYSERDA will review the submitted Application and respond to the Applicant within 30 days of receipt. In the event NYSERDA has questions on the submitted Application, the Applicant is required to submit written responses and/or revisions to NYSERDA within 30 days of receiving NYSERDA's questions. After formal, written approval of the Application, NYSERDA will issue a purchase order. Funding is NOT reserved until a purchase order is issued.

### **Scope of Work**

The submitted scope of work must include:

- **Project Description** (if submitting a joint Application, please submit one project description for each institution)
  - **Institution name**
  - **Description of institution's existing clean energy goals and progress**
  - **Goals of participation in this Program and summary of Tasks to be completed**
  - **Task-by-task description of services, cost of each task, and deliverables to be provided.** If you are requesting support for activities outside of the list of eligible scope of work activities provided in Table 1, please provide a more detailed description of the task to be completed, as well as an explanation of why this task is critical to achieving your institution's clean energy goals.
  - **Student intern engagement (if applicable)**
    - Name, year, and major of the intern
    - Name, title, contact info of the individual who will supervise the intern
    - Description of what tasks the student intern will perform in support of the scope of work
- **Timeline.** Please provide an expected timeline for executing the scope of work based on the number of weeks from an issued purchase order from NYSERDA.
- **Total project cost and requested cost-share.**
- **Budget.** Please provide a task-by-task budget based on the Sample Budget Template provided in Attachment B.

### **IV. Final Deliverables and Invoicing**

Upon scope of work completion, the Applicant must submit a **final report**, including the Roadmap described in Section II: Program Details, to NYSERDA for review and approval. NYSERDA will review the submitted report and issue comments or approval to the Applicant and its energy consultant within 30 days of receipt. In the event NYSERDA has comments, the Applicant is required to submit written responses and/or revisions to NYSERDA within 30 days of receiving NYSERDA's comments.

Once the final report is approved by NYSERDA, the Applicant must submit an invoice to NYSERDA in accordance with Exhibit C, NYSERDA Prompt Pay Policy Statement (see Attachment D: Sample Terms and Conditions). The Applicant may invoice NYSERDA as they incur costs from the energy consultant in completion of the scope of work. Copies of the energy consultant invoices must be provided and must be broken out by non-labor costs, individuals,



titles, hourly rates, dates, and hours worked on each task in the final scope of work. Travel costs are limited to 3% of the total cost. NYSERDA reserves the right to withhold payment in cases where Program deliverables are not being met.

## V. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements which can be found at <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 \$150,000, 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>.

**Contract Award** - NYSEDA anticipates making multiple awards under this solicitation. It may award a contract based on initial Applications without discussion, or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support Applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA expects to notify Applicants in approximately thirty (30) days from the receipt of an Application whether your Application has been selected to receive an award.

**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 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.

## **V. Attachments**

**Attachment A:** Technical Assistance for Roadmaps Application

**Attachment B:** Sample Budget Template

**Attachment C:** Collaborative Commitment(s) – for use when REV Campus Challenge members are collaborating on a single Application

**Attachment D:** Sample Terms and Conditions



**Affordable Solar Predevelopment and Technical Assistance**  
Program Opportunity Notice (PON) 3414  
**\$ 4,400,000 Available**

Applications accepted through August 31, 2018 by 5:00 PM Eastern Time\*

**Program Summary:** Affordable Solar Predevelopment and Technical Assistance will provide up to a total of \$4,400,000 to address barriers to solar installations serving low-to-moderate income (LMI) households living in rental housing, multifamily buildings, or other households not served by traditional onsite residential solar. Individual awards will not exceed \$200,000. Funding to proposals through this solicitation will offset costs for predevelopment and technical assistance work needed to implement solar installations for multifamily affordable housing and/or shared solar (Community Distributed Generation) installations that benefit LMI households.

**Application Submission:** Visit [www.nyserda.ny.gov/funding](http://www.nyserda.ny.gov/funding) to review and download the program application. Email the completed application to [affordablesolar@nyserda.ny.gov](mailto:affordablesolar@nyserda.ny.gov). The email subject and application file should use the naming convention: 'Affordable Solar PTA – Application – Proposer Name'.

**Contact Information:** For all questions, please contact program staff at [affordablesolar@nyserda.ny.gov](mailto:affordablesolar@nyserda.ny.gov).

Incomplete or inaccurate applications will not be accepted. Faxed or mailed applications will not be accepted. Applications will not be accepted at any NYSERDA email address other than [affordablesolar@nyserda.ny.gov](mailto:affordablesolar@nyserda.ny.gov). 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

Multiple market barriers unique to serving low-to-moderate income (LMI) communities hinder progress through the financing, procurement, marketing/outreach and other components of solar project development. Community organizations and affordable housing providers are critical partners in developing locally driven solutions to these barriers and achieving equitable access to the benefits of solar participation for LMI households in New York. Frequently, however, these entities lack the financial resources, solar market experience or staff capacity to bring a solar project from the concept stage to operation.

NYSERDA, through the Affordable Solar Predevelopment and Technical Assistance Program, will provide up to \$4,400,000\*\* to address these resource gaps and market barriers to solar installations serving LMI households living in rental and affordable multifamily housing, and other LMI households not served by conventional single-family residential solar installations. This program will provide funding for the development of solar projects that offer meaningful benefits to LMI customers and affordable housing providers, and demonstrate viable project models and economics to solar developers, investors and other partners.

Target projects participating in the program will lead to:

- The implementation and operation of solar installations for multifamily affordable housing buildings
- Shared solar (Community Distributed Generation) installations that will offer benefits to LMI households

Applications will be accepted from multifamily affordable housing providers, community organizations or entities, and technical service providers. Approved projects funded through this solicitation will receive contract awards not to exceed \$200,000.

Each approved project will execute a work plan that may include any or all of the following predevelopment and technical assistance activities:

- securing and structuring project financing
- procuring services from solar developers
- developing legal structure(s) for ownership of solar assets
- LMI customer outreach and enrollment
- developing methods to allocate benefits of solar generation to tenants of multifamily affordable housing
- other technical assistance or services that achieve the target outcomes

Contracts will be offered to project proposals that have met the eligibility criteria and are approved by a review committee of NYSERDA staff and external experts, subject to program policy factors and the funding available. Project teams are encouraged, but for each approved project, NYSERDA will contract with the entity acting as lead applicant.

Updates to program information and resources are available at [www.nyserderda.ny.gov/ASPTA](http://www.nyserderda.ny.gov/ASPTA).

*\*\*\$3,600,000 of the funds for this program have been allocated from the Clean Energy Fund (CEF). Eligibility for CEF funds is limited to projects serving customers who pay the CEF surcharge as part of their electric bills. Additional funds in the amount of \$800,000 have been allocated from the Regional Greenhouse Gas Initiative (RGGI) and will be made available, subject to exhaustion, for projects serving customers who are ineligible under the CEF because they do not pay the CEF surcharge.*

## II. Program Requirements

### Definitions

**Multifamily affordable housing** is defined by participation of a property in the following programs:

- HUD-regulated affordable housing
- DHCR-regulated affordable housing
- Low Income Housing Tax Credit financing
- NYCHPD-regulated affordable housing (or other local housing agency)
- SONYMA Mortgage Insurance financing
- Weatherization Assistance Program
- HFA's 80/20 Program
- NYCHDC's 80/20 or Mixed Income Programs
- OTDA Temporary and Supportive Housing Programs

**Low-to-moderate income (LMI)** household is defined as:

- A household that has a gross income less than 80% of the median county income (80% AMI) (see <https://www.nyserda.ny.gov/affordable-solar-income-guidelines> for income guidelines)
- Documented participating household in other income-eligible utility, housing, or other public assistance programs serving households at 80% AMI or below, including programs limited to serving households at lower income levels.

### **Eligible Applicants**

Applications must be submitted by or include the documented participation of any of the following:

- Owners, providers, or managers of regulated multifamily affordable housing
- Local government agencies
- Community Development Corporations, Community Development Financial Institutions, or other community organizations providing services to LMI households and/or demonstrating an LMI constituency

Applications may be led by or include the participation of service providers, consultants, and/or solar developers under the following circumstances:

- The affordable housing, community-based entity or local government agency applicant or organization does not possess in-house capacity to carry out the technical or specialized expertise required by the proposed activities
- Solar installers or developers may be co-applicants or partners on the proposed project when providing non-engineering technical assistance

### **Eligible Proposals**

Proposed projects must lead to the implementation and operation of solar installations that benefit LMI households, and/or the enrollment of LMI households in shared solar (Community Distributed Generation). Projects may provide direct energy cost savings to LMI subscribers through a shared solar installation, indirect benefits to LMI residents of multifamily affordable housing receiving energy cost savings through an onsite or remote installation, or some combination of the two. Planned benefits must be documented in the application.

**Eligible proposed activities may include the development and implementation of any of the following:**

- Solar procurement methods for multifamily affordable housing
- Model shared solar subscriptions for LMI customers, including upfront purchase, and pay-as-you-go approaches, standardized customer agreements, and/or other components that maximize LMI customer benefits and protections

- Financing mechanisms or structures designed to leverage existing financing available to affordable housing; or designed to de-risk affordable housing or LMI customer portfolios for market financing
- Solar energy credit allocation methods for shared solar installations serving residents of multifamily affordable housing that addresses split incentives and/or the allocation of benefits to tenants of master-metered and/or direct-metered regulated affordable housing in alignment with utility allowance regulations
- Models for delivering low cost solar energy credits to low income customers enrolled in energy assistance or utility discount programs, to include coordinated enrollment methods and establishing solar benefit levels in alignment with State Energy Affordability goals (of maximum 6% energy burden for low-income households)
- Tools, models and activities to provide outreach to LMI households and enrollment in shared solar installations

**Project activities not eligible for funding through this solicitation include direct design, engineering, and other construction-related activities such as:**

- System design and engineering (with the exception of preliminary site feasibility studies)
- Permitting, interconnection studies and upgrades, inspections
- Installation labor
- Installation hardware
- Other activities representing the existing standard business operations for development of a solar project

Projects related to onsite solar installations for owner-occupied houses are not eligible for funding through this solicitation. However, support is available through the Affordable Solar residential incentive offered by NYSERDA for low-to-moderate income homeowners -- please visit [www.ny-sun.ny.gov/affordablesolar](http://www.ny-sun.ny.gov/affordablesolar) for more information.

### **Evaluation Criteria**

**Proposed Project:** How significant to the LMI market for solar is the barrier or opportunity addressed by the proposed project? How likely is the proposed predevelopment work to lead to a completed solar project serving LMI households? Is the proposed work strategy sound and technically feasible? How well has the proposer defined the target customer(s), value proposition, and the application of the proposed solution? Has the proposer demonstrated support/demand from necessary market actors and potential customers?

**Project Benefits:** How significant are the potential economic benefits from the project to LMI customers directly, or indirectly through affordable housing providers? Will there be additional benefits for the target LMI audience of the project such as increased access to solar and energy efficiency products or services, job creation, or other community/economic development?

**Market Potential:** Does the proposed project address a current challenge or opportunity that is not being adequately addressed? Is the project appropriate for the current stage of the market, including regulatory and policy factors? Does the project have the potential for wide-scale replication?

**Project Team and Support:** To what degree does the team have relevant technical and business background and experience? Has the proposer previously implemented or partnered on any solar projects? How firm are the commitments and resources from essential participants, partners, and other organizations? To what extent has the proposal identified the project ownership structure through predevelopment, implementation and ongoing operation?

**Project Value/Economics:** Is the overall project cost (predevelopment) justified? Relative to the proposed predevelopment cost, how significant is the potential market opportunity and expected benefit to LMI customers? How appropriate are the project's overall financial resources, degree of risk exposure, and viability of potential revenue? Does the proposer have a reasonable plan for pursuing any additional funding necessary for full implementation of the project?

### **Program Policy Factors**

NYSERDA may consider Program Policy Factors in making selection decisions, to best achieve the overall goals and objectives of the Affordable Solar program.

Program Policy Factors will include the following portfolio-level considerations:

- The degree to which the proposed project optimizes the use of available funding
- 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
- Overall number of distinct awarded contracts

### **III. Application Requirements**

A webinar providing instructions and guidance for submitting applications will be held on December 15, 2016 and will also be recorded for later viewing. Registration for the webinar and the recording will be available through the program webpage at [www.nyserderda.ny.gov/ASPTA](http://www.nyserderda.ny.gov/ASPTA). Potential or interested applicants should attend or view this webinar before starting the application process.

Proposers must complete and submit the Affordable Solar Predevelopment and Technical Assistance Application (Attachment C) including the required Work Plan and Project Budget. Once an application is submitted, the applicant(s) will be contacted within 30 business days with either a request for more information or a decision on the application. The application includes the following sections detailing the project:

- Team
- Concept
- Benefits
- Work Plan
- Budget

Each section must be completed in full. Upon receipt of an application, NYSERDA program staff will review for initial eligibility and completeness and will inform the applicant if clarifying information is needed. If the application is substantially incomplete (one or more sections lacking required information), this may disqualify the application.

Complete and eligible applications will be reviewed and evaluated by a committee of NYSERDA staff and external experts. Applications will be reviewed by the committee as they are received. NYSERDA may request additional information and/or a presentation by proposers. Applications that are deemed by the committee to meet the program criteria will be awarded contracts on a first-come-first-serve basis. Program policy factors may apply in final award decisions, as detailed in the Evaluation Criteria.

Applications will be accepted and reviewed on a rolling basis, and awarded until all funds are exhausted.

### **IV. Contracting**

Contract periods for approved projects will be established based on the timeline proposed by the application with a maximum contract period of one (1) year. NYSERDA reserves the right to extend contracts as needed.



Payment schedules for approved projects will be based on the Work Plan submitted with the application (Final Work Plan subject to negotiation with NYSERDA), and based on the completion of objectives identified by the proposer(s) as project milestones in the Work Plan. All projects will include at minimum four milestone points (mobilization, midpoint, substantial completion, and final reporting), as described below:

- Mobilization – Establish a detailed project management plan and operating procedures for the project; confirm project team members, partners, and stakeholders fully committed/contracted and formally assigned roles; access any additional funding resources; hold launch meeting including full project team, stakeholders and partners.
- Midpoint – At least 50% progress or completion of project outcomes. At this point, projects should be able to demonstrate that all remaining project outcomes will be successfully completed.
- Substantial Completion – All project outcomes have been completed. **At this point, the project should be able to utilize the outcomes and initiate next steps, such as deployment of the business model and/or construction of the solar electric system installation.**
- Final Reporting - At the close of the contract, the project lead will provide NYSERDA with a final summary report on the project and outcomes.

Payments by NYSERDA on approved projects will be made when each milestone is reached. The payment schedule for the total proposed NYSERDA budget, using the four minimum milestones, is as follows:

- 30% at Mobilization
- 40% at Midpoint
- 20% at Substantial Completion
- 10% at Final Reporting

For more complex projects, proposed Work Plans should include additional milestones and an alternate payment schedule deemed appropriate by the proposer, subject to review and approval by NYSERDA. All proposed Work Plans must set the milestone payment for Mobilization (or equivalent milestone) at no more than 30%, and for Final Reporting at 10% of the total NYSERDA funding proposed.

NYSERDA reserves the right to delay contracting with approved projects in situations where outside funding necessary for the successful completion of the project is unsecured or uncertain.

## 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.

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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>.

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA expects to notify applicants in approximately 6 weeks from the receipt of an application whether the proposal has been selected to receive an award.

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**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.

## **VI. Attachments**

- Attachment A - Proposal Checklist
- Attachment B - Disclosure of Prior Findings of Non-Responsibility
- Attachment C - Program Application
- Attachment D - Standard Agreement

**Clean Energy Incubators**  
Program Opportunity Notice (PON) 3413  
**\$10,000,000 Available**

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

**Round 1 Proposals Due: December 1, 2016 by 5:00 PM Eastern Time\***  
**Round 2 Proposals Due: October 25, 2017 by 5:00 PM Eastern Time\***

This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3413, Clean Energy Incubators, seeks proposals to catalyze the continued development and growth of a vibrant, self-sustaining clean energy innovation ecosystem in New York State through the support of clean energy business incubators. This PON is a continuation of NYSERDA's successful clean energy incubator program and will continue the evolution of the existing incubator program by making additional, competitively awarded funding available for clean energy incubators across New York State. NYSERDA's strategy is to provide operational and programming support for clean energy incubators that offer commercialization resources, technical assistance, and business development support to early-stage companies in order to help them achieve key milestones and accelerate their time to market. Proposals will be evaluated on the basis of innovative and high-impact programming for client companies and graduates, utilization of institutional resources and regional assets, collaboration with partners, and leverage of funding and support from other sponsors. Enhancing the geographic coverage and distribution of clean energy incubation services within the Southern Tier of New York State, as defined in the 76West program, is also an objective of this solicitation. Up to \$10,000,000 of NYSERDA funding is available through this PON. The maximum award per incubator will be \$2,000,000. Awarded contracts will be for an initial term of four years with one, one-year option to renew. All, some, or none, of the available funds may be awarded in Round 1 and/or Round 2. NYSERDA reserves the right to add or reduce time and/or funding to awarded contracts.

### **Proposal Submission**

Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers 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:

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

No communication intended to influence this procurement is permitted except by contacting Nicholas Querques (Designated Contact) at (518) 862-1090, ext. 3086 or [nicholas.querques@nyserda.ny.gov](mailto:nicholas.querques@nyserda.ny.gov) or Michael Shimazu (Designated Contact) at 518-862-1090, ext. 3478 or [michael.shimazu@nyserda.ny.gov](mailto:michael.shimazu@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or [venice.forbes@nyserda.ny.gov](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 offeror, 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 early-stage companies that are commercializing clean energy technologies and solutions continue to face a difficult path to market as a result of the capital intensity and long lead times associated with the clean energy commercialization process. In addition, clean energy companies – whether they are developing disruptive hardware technologies or innovating new business models – often lack active relationships and deep connections with the broader investment community and key development partners. Incubators, which are organizations that help new and early-stage ventures develop and scale, can dramatically improve the success rate of these clean energy companies.

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

NYSERDA founded its incubator program in 2009 to foster the viability and growth of the state's most promising clean energy companies by providing ready access to investors, mentors, development partners, and commercialization resources. These six incubators, which span from Buffalo to Long Island, have assisted 146 client companies and graduates have raised over \$247 million in private investment, \$205 million in project finance capital, and \$82 million of non-NYSERDA grant funding to

date, while generating over 1,000 jobs and bringing dozens of new clean energy products and solutions to the market.

The current NYSERDA-sponsored incubators include:

- Directed Energy – University at Buffalo (Western New York)
- Venture Creations – Rochester Institute of Technology (Finger Lakes)
- Clean Tech Center – The Tech Garden (Central New York)
- iClean – SUNY Polytechnic Institute (Capital Region)
- ACRE – NYU Tandon School of Engineering (New York City)
- CEBIP – Stony Brook University (Long Island)

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

To date, NYSERDA's clean energy incubator program has not competitively awarded any incubators in the Southern Tier region of the state, defined in the 76West program (<https://www.nyserdera.ny.gov/AllPrograms/Programs/76west>) to include the following counties: Allegany, Broome, Cattaraugus, Chautauqua, Chemung, Chenango, Delaware, Schuyler, Steuben, Tompkins, and Tioga. Consequently, NYSERDA specifically encourages proposals to provide incubation services at physical facilities located in communities within this region, with the goals of enhancing the geographic coverage of its startup growth programs, and filling identified needs in the economies and entrepreneurial ecosystems of these communities.

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

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

The subsequent sections of this PON are as follows:

- II. Program Requirements (page 3)
- III. Proposal Requirements (page 6)
- IV. Proposal Evaluation (page 7)
- V. General Conditions (page 10)
- VI. Attachments (page 12)

## **II. PROGRAM REQUIREMENTS**

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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 \$10,000,000 of NYSERDA funding is available through this PON. The maximum award per incubator will be \$2,000,000. All, some, or none, of the available funds may be awarded in Round 1 and/or Round 2. NYSERDA reserves the right to add or reduce time and/or funding to awarded contracts. Successful proposers will be required to provide cost sharing; at least 25% of the total project cost is required. The proposer's cost share may be cash or in-kind and may come from the proposer itself or partner organizations. Cash is the preferred form of cost share.

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

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

- **Operations** – Strategies and activities related to the operation and administration of the incubator. Examples include, but are not limited to, acquisition of sufficient physical space to house incubator clients, hiring highly qualified and sufficient staff to manage programming, and implementing measurement and verification steps to collect and report high-quality performance metrics. Operations activities will be reported in required periodic reporting for NYSERDA that quantifies the impact of the incubator as well as progress made and milestones achieved by client companies and graduates.
- **Programs** – Strategies and activities that build, foster, and grow a culture of innovation and entrepreneurship throughout the incubator's institution and broader region. For example, networking events, boot camps, founder meetups, mentor office hours, advisory board meetings, hackathons, prize competitions, etc. The results of these programs will be reported periodically and include an assessment of programming impacts in order to identify what works well and potential areas for adjustment.
- **Client-Driven Milestones** – Strategies and activities focused specifically on increasing the likelihood of incubator client company success. For example, client-specific support and assistance to raise private investment, form strategic partnerships, and bring products to market, etc. These client-driven milestones, which ensure that compensation for incubator is aligned with the performance and success of its client companies and graduates, will be the primary focus of NYSERDA's support through this PON.

### **Schedule and Teaming**

The following guidelines should be considered when developing proposals:

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



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

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

### **Potential Conflicts of Interest**

Identify the nature of any potential conflicts of interest among team members and partners in providing services to NYSEDA 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 NYSEDA determines that a team member may have a conflict of interest or the appearance of such, NYSEDA 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.

### Proposal Checklist

Complete the specific Proposal Checklist attached, if mailing or hand delivering, as part of this PON (Attachment A), and include it as the front cover of the original and each copy of the proposal. Note the following:

- Indicate whether you accept the standard terms and conditions as contained in the Sample Agreement (Attachment D). If you **do not accept** the standard terms and conditions, **provide alternate terms** with justification based on the risk and benefit to New York State. NYSERDA reserves the right to consider only exceptions to terms that are specifically included with the proposal. Any negotiation of terms will be at NYSERDA's sole discretion.
- Do not leave any blanks. If a specific question is not applicable, indicate "N/A".
- Be sure the individual signing the Proposal Checklist is authorized to commit the proposer's organization to the proposal as submitted.
- A completed and signed Proposal Checklist must be attached as the front cover of your mailed or hand delivered proposal. **Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.**

### Procurement Lobbying Requirements

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), 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.

### 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 costshare 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.
- Provision of incubation services at physical facilities located in communities within the Southern Tier, as defined in the 76West program.
- Duplication of other proposed or awarded projects.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- The degree to which there is industry involvement and demonstrated ability to commercialize energy or related technologies.
- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.

### **V. GENERAL CONDITIONS**

### **Proprietary Information**

Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of

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

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

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

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

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

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

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

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

NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. The 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 proposal due date whether their proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

## **Limitation**

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

## **Reporting**

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

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

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

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

## Disclosure Requirement

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

## VI. ATTACHMENTS

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

- Attachment A - Proposal Checklist – **Mailed or Hand Delivered Proposals ONLY**
- Attachment B - Disclosure of Prior Findings of Non-Responsibility Form – **Mailed or Hand Delivered Proposals ONLY**
- Attachment C - Proposal Narrative
- Attachment C1 - Mission Model Canvas
- Attachment D - Sample Agreement





**Workforce Training: Building Operations and Maintenance  
Program Opportunity Notice (PON) 3442**

**\$4,200,000 Available**

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

**Applications accepted on a first-come, first-served basis dependent on funding availability  
until April 27, 2017 by 5:00 PM Eastern Time.**

**Informational Webinar will be held on February 23, 2017 from 11:00 a.m. – 12:00 p.m.**

NYSERDA's Building Operations and Maintenance Workforce Development and Training Program seeks to reduce energy use and associated carbon emissions while saving building operators and owners money by building the skills of operations and maintenance staff and managers across the state. The goal is to provide support to help employers and building owners with workforce development and training projects that create the talent development strategy, corporate culture, on-site training framework, and training tools needed to support building operations and maintenance workers beyond classroom training. NYSERDA will support eligible projects by providing funding for activities such as, but not limited to, on-site training laboratories, curriculum development, career pathways training, coaching/mentorships, apprenticeships, internships, training trainers within a company, and partnerships with manufacturers. Projects submitted to this PON should be designed to help employers build upon their employees' technical skills and reduce facility energy use, while realizing other corporate benefits such as reduced equipment downtimes, increased occupant comfort, reduced occupant complaints and tenant turnover, increased numbers of staff with national certifications, and opportunities for promotion and career advancement.

This program targets the operations and maintenance workforce employed in the following building types: multifamily housing, office buildings, retail, colleges and universities, hospitals and health care facilities, state and local governments, not-for-profit and private institutions, industrial facilities, and public and private K-12 schools. Other building types will be evaluated on a case-by-case basis. Eligible participants include facilities that are New York State electricity customers of a participating utility company and are paying into the System Benefits Charge (SBC)/Clean Energy Fund (CEF). An entity that employs building operations and maintenance workers must be the lead proposer. Proposals must be for buildings or groups of buildings, including partnerships of businesses with common training needs and skills gaps that have total annual energy expenditures of \$1 million or more. Building operations and maintenance occupations or job titles that are targeted for hands-on and on-site training under this program may include, but are not limited to, the following: facilities and property managers; operating and stationary engineers; technicians; building superintendents; maintenance workers; mechanics and supervisors; electricians; HVAC technicians; procurement staff; facility coordinators; and energy/sustainability managers. Potential cost reduction and efficiency improvements achieved through training could target, but are not limited to HVAC systems and controls; building envelope; mechanical systems; building diagnostics; pneumatic systems and controls; building set points and temperature standards; and lighting and lighting controls, motors, etc.

NYSERDA will provide cost share of up to 50% with a cap of \$400,000 per application. An informational webinar for potential applicants will be held on **February 23, 2017**. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov>.

**Proposal Submission:** Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. Instructions for submitting electronically are located as Attachment E to this solicitation. When submitting electronically, application documents must be in PDF, MS Excel, or MS Word format with all required documentation. Application PDFs must be searchable and created by direct conversion from MS Word, or other conversion utility, rather than scanning. All electronic files must be named using the applicant's entity name in the title of the document. Applications may be submitted electronically by following the link for electronic submissions found on this solicitation's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

**If mailing or hand-delivering, proposers must submit** three (3) 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, completed, and submitted to the following address:

**Proposals, PON 3442  
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 Rebecca Hughes – primary contact (Designated Contact) at (518) 862-1090, ext. 3618 or by e-mail [Rebecca.hughes@nyserda.ny.gov](mailto:Rebecca.hughes@nyserda.ny.gov) or Adele Ferranti – secondary contact (Designated Contact) at (518) 862-1090, ext. 3206 or by e-mail [adele.ferranti@nyserda.ny.gov](mailto:adele.ferranti@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 by email [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.

\*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

NYSERDA's Building Operations and Maintenance Workforce Development and Training Program seeks to reduce energy use and associated carbon emissions while saving building operators and owners money by building the skills of operations and maintenance staff and managers across the state. The goal is to provide support to help employers and building owners with workforce development and training projects that create the talent development strategy, corporate culture, on-site training framework, and training tools needed to support building operations and maintenance workers beyond classroom training. NYSERDA will support eligible projects by providing funding for activities such as, but not limited to, on-site training laboratories, curriculum development, career pathways training, coaching/mentorships, apprenticeships, internships, training trainers within a company, and partnerships with manufacturers. Projects submitted to this PON should be designed to help employers build upon their employees' technical skills and reduce facility energy use, while realizing other corporate benefits such as reduced equipment downtimes, increased occupant comfort, reduced occupant complaints and tenant turnover, increased numbers of staff with national certifications, and opportunities for promotion and career advancement.

This program targets the operations and maintenance workforce employed in the following building types: multifamily housing, office buildings, retail, colleges and universities, hospitals and health care facilities, state and local governments, not-for-profit and private institutions, industrial facilities, and public and private K-12 schools. Other building types will be evaluated on a case-by-case basis. Eligible participants include facilities that are New York State electricity customers of a participating utility company and are paying into the System Benefits Charge (SBC)/ Clean Energy Fund (CEF). An entity that employs building operations and maintenance workers must be the lead proposer. Proposals must be for buildings or groups of buildings, including partnerships of businesses with common training needs and skills gaps that have total annual energy expenditures of \$1 million or more. Building operations and maintenance occupations or job titles that are targeted for hands-on and on-site training under this program may include, but are not limited to, the following: facilities and property managers; operating and stationary engineers; technicians; building superintendents; maintenance workers; mechanics and supervisors; electricians; HVAC technicians; procurement staff; facility coordinators; and energy/sustainability managers.

It is anticipated that proposals will be aimed at developing comprehensive workforce development and training initiatives to train new workers and advance the skills of existing workers. It is anticipated that **eligible training initiatives** funded under this PON will be equipment- or operations and maintenance-based. Equipment-based skills training can target categories such as, but not limited to, the following:

- Lighting and controls
- HVAC equipment (packaged or split systems)
- Domestic hot water
- Boilers, hot water and steam distribution systems
- Ventilation, economizers, demand management and other ventilation controls
- Motors and drives
- Fans and air distribution systems
- Chiller/chilled water systems
- Cooling towers
- Water pumps
- Pneumatic system and controls
- Building diagnostics
- Building envelope

- Thermal storage systems
- Solar water heating
- Photovoltaics
- Energy and building management systems
- Whole building/building science
- Digital controls

Operations and maintenance training can target general or very specific areas such as:

- Cleaning heat exchangers and coils
- Optimizing supply air temperatures
- Equipment scheduling (boilers, pumps, fans, etc.)
- Tuning up boilers
- System commissioning
- Chiller optimization
- Matching boiler capacity to loads
- Utilizing natural ventilation where possible
- Measuring and optimizing system performance
- Setback temperatures
- Monitoring pump operating temperatures
- Heat recovery
- Indoor air quality
- Water efficiency
- Environmental health and safety
- Energy accounting

### **Successful Proposals**

It is anticipated that a successful proposal will result in training initiatives and outcomes that can be replicated and shared with others within the same industry or across industries. A successful proposal will:

- Result in the implementation of training elements that address specific skills gaps and that are integrated into standard business procedures;
- Demonstrate how a project can be replicated throughout an organization, either as part of the proposed project scope, efforts funded through this PON, or through future efforts addressed as part of the proposers' plan to sustain training activities beyond the project scope proposed;
- Reach the number of building operations and maintenance workers necessary to have measurable energy and non-energy benefits, either as part of the proposed scope or through sustainability planning;
- Result in operational cost savings and;
- Promote measurable reductions in energy use and carbon emissions.

A proposal should be aimed at continuously advancing the skills of new or existing building operations and maintenance workers beyond typical classroom training or beyond training that is currently available in the market. Following are a few examples of areas eligible for funding:

- Developing and implementing a new, New York State registered apprenticeship program or modifying an existing registered apprenticeship program, including developing or modifying

- curriculum and training trainers.
- Developing a training lab at a building site, supported by other training elements like those mentioned below.
- Developing a job mentoring program that includes training mentors, classroom training, on-the-job training with a defined training plan, and/or developing operations and maintenance manuals as training tools.
- Partnerships between employers with job openings and technical high schools and/or colleges to introduce students with basic skills training to career opportunities through a plan that may include internships, pre-apprenticeships, mentoring, advanced training, and/or job shadowing.
- Initiatives to support advanced training that leads to national certifications, including activities to recognize employees that achieve training milestones.

Proposers may be able to complete proposed tasks on their own, or proposals can include partnerships with other organizations to carry out the Scope of Work (i.e., to develop curriculum, develop and implement a plan to measure the energy and non-energy benefits associated with the project, train trainers, etc.). NYSERDA will also support measurement and verification of project impacts; foster employer partnerships with training organizations; share project results and outcomes with similar organizations through the NYSERDA website and case studies; and facilitate industry partnerships to help in addressing common barriers.

An informational webinar for potential bidders will be held on **February 23, 2017 from 11:00 a.m. – 12:00 p.m.**

## **II. PROGRAM BUDGET**

Total funding currently available for this solicitation is \$4,200,000. Additional funds may be added to the PON if funds become available, and it is anticipated that the PON could be reissued with or without modifications. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov>.

NYSERDA anticipates awarding multiple contracts under this solicitation, with a maximum initial award of \$400,000 per contracts. Contracts may be modified/extended, and additional funds may be added, if justified and if additional funds are available. NYSERDA may partially fund proposals.

Proposers will be required to provide 50% cost share, which can include cash or in-kind services. Some examples of eligible cost share, for example, could include employees' wages during training, equipment from manufacturers that will be used exclusively for training purposes, training fees offset by a third party, etc.

Examples of approved uses of NYSERDA funds include, but are not limited to, classroom training and certification costs; hands-on training equipment; development and implementation of internship programs (including costs associated with administering internships and intern wages); on-the-job training wage support for new hires (consistent with the duration of typical on-the-job training programs and when supported by other activities in a training plan) and; curriculum development.

## **III. PROGRAM REQUIREMENTS**

### **Eligibility Requirements:**

- Eligible participants include facilities that are New York State electricity customers of a participating utility company and are paying into the System Benefits Charge (SBC)/Clean

Energy Fund (CEF). Such entities may include, but are not limited to the following: multifamily housing, office buildings, retail, colleges and universities, hospitals and health care facilities, state and local governments, not-for-profit and private institutions, industrial, and public and private K-12 schools. Other building types will be evaluated on a case-by-case basis.

- An entity that employs building operations and maintenance workers must be the lead proposer. Such entities may include, but are not limited to, the following: building owners, facility managers, property management companies, or business associations/trade groups that represent or are comprised of employers. While training partners can be partners or subcontractors, a training provider cannot be the lead proposer.
- Participating buildings, campuses, or groups of participating buildings in a proposal must have total energy expenditures of \$1 million or more annually (all fuels and all uses).
- Preference will be given to proposals that exceed the minimum requirements outlined below and funding requests should be commensurate with the project's impact.

#### **IV. PROJECT REQUIREMENTS**

Projects must:

- Have a Scope of Work that details project goals, objectives, tasks, deliverables, and outcomes.
- Identify the skills gaps being addressed, the training initiatives to address those gaps, and the job titles or occupations being impacted.
- Include a plan and specific tasks to ensure the efforts are self-sustaining after NYSERDA support has ended, and impact building operations and maintenance staff within an organization or across partnering organizations during the project and after it has been completed;
- Have a measurable impact on the workers trained, both advancing the skills of existing workers and providing applicable skills to new workers.
- Include energy savings targets and tasks to measure and verify savings. Projects must identify energy savings goals (basic estimates are acceptable in applications, but more detailed estimates will be viewed more favorably) and outline plans to monitor and verify energy savings over a reasonable time (such as over 6-12 months or a time period that addresses seasonal energy consideration, i.e., through two heating or cooling cycles). For example, depending on the scope and scale of the project, energy savings may be verified through bill analyses or data monitoring equipment. While some estimate that building owners can save five to 20 percent on their energy bills annually by implementing operations and maintenance best practices, proposers should determine realistic savings targets on a case-by-case basis.
- Demonstrate replicability, and result in deliverables that can be shared, as appropriate, with similar organizations or building types.

Projects should also:

- Include a plan to identify non-energy goals and benefits and a strategy for measuring or monitoring such impacts (i.e., reduced staff turnover, increased occupant satisfaction and reduced tenant turnover, reduced equipment downtime, and increased number of worker certifications); and/or
- Demonstrate how they will leverage existing classroom training, if applicable. If it can be demonstrated that necessary training is not available in the market, new curriculum can be developed--ideally combined with one or more of the other hands-on, on-site training components mentioned above; and/or
- Include partnerships to leverage existing or other resources, and share results, where appropriate, either between employers, across multiple properties, or with training providers. For example, a

business could partner with a training provider to develop curriculum or develop training protocols for job shadowing; or a business could partner with a manufacturer to develop customized training modules or develop operations and maintenance manuals; and/or

- Identify and explore opportunities to hire and advance the skills of workers that need special assistance entering the clean energy labor market such as, but not limited to, unemployed, under-employed, transitioning, or displaced workers. Partnerships could include working with a community-based organization to develop job placement and career pathway steps for workers needing special assistance to enter the job market.

Preference will be given to proposals that include strategies that address one or more of the four bullets above.

## V. SCOPE OF WORK REQUIREMENTS

Proposers must include a detailed Scope of Work in their Application. The Application and Scope of Work must include project goals, objectives, tasks, deliverables, and outcomes. See Attachment D for an Example Scope of Work.

The Scope of Work must include:

- Specific tasks and deliverables to develop an in-house energy training culture, infrastructure, and activities that result in continuous, organization-wide training to provide skills to new workers and/or advance the skills of existing workers.
- A task that outlines steps that will be taken to ensure the project results in a sustainable effort that is incorporated into the corporate culture and, as appropriate, shared with others with similar skills gaps and workforce training needs.
- Clearly identified skills gaps being addressed and the training initiatives to address those gaps.
- The type and number of workers being trained in each training task and overall.
- A task for measuring energy and non-energy benefits associated with training.

Additional Scope of Work tasks related to specific training initiatives, for example, COULD include one or more of the following:

- **Curriculum Development:** If new curriculum is proposed, the Scope of Work should identify the market gap that the curriculum will address; describe the proposed curriculum; and identify who will develop the curriculum (e.g., it could be a training partner identified in the proposal). How will the curriculum meet a current gap in the market?
- **Train-the-Trainer:** The Scope of Work should address how the program will develop internal capacity and the roles of trainers for training new or existing staff. What training will they need and how will it be provided/accessed? What skills gaps are being addressed?
- **Employee Training:** Provide details on who will be trained, how, and on what skills. Will training lead to or prepare workers for national certifications? What happens after staff are trained?
- **Career Pathways Training:** If your proposal includes activities to develop career paths for new or existing employees, the Scope of Work should identify the training needs, skills, and job titles along each career path. Will efforts include activities to hire workers that need special assistance entering the clean energy labor market?

- **Internships/Pre-Apprenticeships/Apprenticeships/On-the-Job Training:** Provide training and task details, and indicate the number of hours for the initiative once implemented. For example, how many training hours, including classroom hours, would an on-the-job training plan or internship include?
- **Partnerships with Manufacturers:** Describe the roles and expectations of manufacturers in any training activities. How will you work with manufacturers to leverage existing training or training equipment, support the development of training and maintenance manuals, etc.?
- **Build a Hands-On Training Laboratory On-Site:** Tasks should detail what a training laboratory will include (equipment), where it will be located, who will have access to it, who the trainers will be at the laboratory, how it fits into a training plan, and why it is needed on-site. How will the lab be staffed and maintained after the project is complete?

**Proposals that include and integrate several of the activities mentioned above, as examples, are more likely to have an impact on addressing skills gaps and be sustainable. As a result, such proposals are more likely to be funded than projects that only include one discrete element.**

## **VI. SCHEDULE REQUIREMENTS**

Include a schedule for all tasks and deliverables, completion dates, or other detail, as applicable. Projects should be completed within 24 months or less from contract execution. Contracts could be executed within weeks of submitting a complete, successful proposal. See suggested schedule format in the Application Form, Attachment C.

## **VII. BUDGET REQUIREMENTS**

Include a detailed budget for the proposal that shows hours and dollars allocated to each task of the Scope of Work. The budget must be reasonable and must show the portion being requested from NYSERDA and the portion that is the proposers' or proposing team's responsibility. Work completed or costs incurred prior to NYSERDA's receipt of the Application are ineligible for funding or for consideration as cost share. See the suggested budget format in the Application Form, Attachment C and budget details in Section II, PROGRAM BUDGET.

## **VIII. EVALUATION CRITERIA (72 points is the minimum threshold of 100 possible points. No proposal with a score of less than 72 will be considered for contract negotiations.)**

- Cost Effectiveness of the Proposal – 20 points
  - Are the costs reasonable?
  - Is the funding requested commensurate with the impact a project will have (number trained, energy savings, non-energy benefits)?
- Energy Savings Goals and Verified Energy Savings – 17 points
  - Will the project have a measurable impact on energy use?
  - Does the project identify energy savings goals? (Basic estimates are acceptable in applications, but detailed goals will be viewed more favorably.)
  - Does the project include a plan (and a Scope of Work task) to monitor and verify energy savings over a reasonable time?



- Self-sustaining After NYSERDA Support Has Ended; Training Integrated into Corporate Culture - 15 points
  - Is the impact on building operations and maintenance staff within an organization or across partnering organizations clearly identified during the project and after it has been completed?
  - Does the project address sustainability after the project is completed and integrate or leverage complementary training elements into a comprehensive plan to continuously advance the skills of existing workers or provide a career path for new workers?
  
- Scope of Work – 12 points
  - Does the Scope of Work have well-defined tasks and deliverables to develop an in-house energy training culture, infrastructure, and activities that result in continuous, organization-wide training to provide targeted skills to new workers and/or advance the skills of existing workers?
  - Does the Scope of Work clearly identify skills gaps being addressed and the training initiatives to address those gaps?
  - Are the type and number of workers being trained specified in each training task and overall?
  - Is there a task that outlines steps that will be taken to ensure the project results in a sustainable effort that is incorporated into the corporate culture?
  
- Replicable – 10 points
  - Can the project be replicated throughout an organization or throughout a proposing team?
  - Will the project result in deliverables that can be used to share project results and lessons learned with other similar organizations or building types?
  
- Efforts to Hire Workers that Need Assistance Entering the Clean Energy Labor Market – 10 points
  - Is there a component to identify and explore opportunities to hire and advance the skills of unemployed, under-employed, transitioning, or displaced workers?
  
- Plan to Identify and Measure Non-Energy Benefits – 8 points
  - Is there a reasonable strategy for measuring or monitoring non-energy benefits and impacts (i.e., cost savings, reduced staff turnover, increased occupant satisfaction, reduced tenant turnover, reduced equipment downtime, and/or increased number of worker certifications)?
  
- Maximize Impact and Leverage Existing Resources - 8 points
  - Is there leveraging of resources, such as subject matter experts, curriculum, equipment, training facilities, etc.)?
  - Are there teaming arrangements between employers, across multiple properties, or with training providers?

**Programmatic Considerations:**

NYSERDA reserves the right to ensure the distribution of participants across multiple sectors and geographically across New York State and to ensure that projects selected for funding optimize the use of available funding to achieve programmatic objectives. NYSERDA also reserves the right to limit the number of awards per applicant and interview applicants.

## **IX. Evaluation Process**

### **Evaluation Process:**

Proposals that meet the eligibility and project requirements detailed in Sections II, III, and IV will be reviewed at least biweekly by a Scoring Committee using the Evaluation Criteria identified above. After the proposals are reviewed, NYSERDA will inform each proposer of their selection status. Applicants receiving favorable evaluations may also be asked to address specific questions or recommendations of the Scoring Committee, or make modifications to the Scope of Work before being awarded funding. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel the PON in part or in its entirety when it is in NYSERDA's best interest. NYSERDA may request additional data or material to support proposals.

### **Successful Proposals:**

After review by the Scoring Committee, recommendations and comments on proposal documents must be resolved. Then, NYSERDA will make a final decision and will notify applicants whether the proposal has been selected to receive an award. An award under this PON will result in a contract. NYSERDA may award a contract based on applications without discussion or following limited discussion.

### **Denied Applications:**

Proposers whose applications are denied may request a debriefing and may reapply under the Program Opportunity Notice as long as funding is available.

### **Informational Webinar:**

NYSERDA will conduct an informational webinar on **February 23, 2017 from 11:00 a.m. – 12:00 p.m.** Eastern Time during which NYSERDA will review this PON, the application requirements, and answer questions. Applicants who intend to participate can send an email to [wfinfo@nyserda.ny.gov](mailto:wfinfo@nyserda.ny.gov) with the subject line "PON 3442 Applicant Webinar" and information on how to participate will be provided.

Applicants are encouraged to submit written questions to [wfinfo@nyserda.ny.gov](mailto:wfinfo@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.

## **X. GENERAL CONDITIONS**

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

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

Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

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

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement for successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA expects to notify applicants in approximately four weeks from the receipt of an application whether the application has been selected to receive an award.

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

## **XI. ATTACHMENTS:**

Attachment A – Proposal Checklist

Attachment B – Disclosure of Prior Findings of Non-Responsibility Form (Mandatory)

Attachment C – Application Form

Attachment D – Sample Scope of Work

Attachment E – Instructions for Electronic Signature

Attachment F – Sample Agreement



**ATTACHMENT A  
PROPOSAL CHECKLIST (MANDATORY)**

Proposal Title		Due Date	
<b>Primary Contact</b> (Prime Contractor)		Title	
Company		Phone	Fax
		e-mail	
<input type="checkbox"/> By checking this box I certify that the TIN number submitted is <b>not</b> a social security number. If your tax id number is your social security number please leave information blank and contact NYSERDA.		<b>Federal Tax Identification Number:</b>	
Address	City	State or Province	Zip
<b>Secondary Contact</b>		Title	
Company		Phone	Fax
		e-mail	
Address	City	State or Province	Zip
<b>THE PRIME CONTRACTOR MUST SIGN THIS FORM BELOW and ANSWER THE FOLLOWING QUESTIONS:</b>			
Do you accept all Terms & Conditions in the Sample Agreement? (If no, explain on separate page) <b>(NYSERDA may or may not accept any of the listed exceptions; NYSERDA reserves the right to limit any negotiations to exceptions specifically identified herein.)</b>			
			___Yes ___No
Do you wish to have any information submitted in your proposal package treated as proprietary or confidential trade secret information? If yes, you must identify and label on each applicable page "confidential" or "proprietary" (For additional information regarding this, please refer to the section entitled "Proprietary Information" in the solicitation document).			
			___Yes ___No
Have you been indicted/convicted for a felony within the past 5 years? (if yes, explain on separate pg)			
			___Yes ___No
Are you a Minority or Women-Owned Business Enterprise?			
			___Yes ___No
Does your proposal contain Minority or Women-Owned Business enterprises as subcontractors?			
			___Yes ___No
Are you submitting the required number of copies? (See proposal instructions.)			
			___Yes ___No
Is other public funding pending/awarded on this and/or very similar topic (prior and/or competing proposals)? (if yes, explain on separate page)			
			___Yes ___No
<b>ON WHAT PAGE IN YOUR PROPOSAL CAN THESE ITEMS BE FOUND?</b>			
Provide list of items consistent with Proposal Requirements section of solicitation:		Indictment/Conviction of Felony _____ (if applicable) NYSERDA Contracts Awarded _____ (if applicable) Prior and/or Competing Proposals _____ (if applicable) Exceptions to Terms & Conditions _____ (if applicable) Completed and Signed Contract Pricing Proposal Form(s) _____ Disclosure of Prior Findings of Non-responsibility Form _____	
<b>AUTHORIZED SIGNATURE &amp; CERTIFICATION</b>			
I certify that the above information, and all information submitted in connection with State Finance Law §139-j and §139-k, is complete, true, and accurate, that I have read and reviewed the Standard Terms and Conditions set forth in the attached Sample Agreement and that I accept all terms unless otherwise noted herein, and that the proposal requirements noted have been completed and are enclosed. I affirm that I understand and will comply with NYSERDA's procedures under §139-j(3) and §139-j(6)(b) of the State Finance Law. I understand that this proposal may be disqualified if the solicitation requirements are not met. I, the undersigned, am authorized to commit my organization to this proposal.			
Signature		Name	
Title		Organization	
Phone			

**NOTE:** This completed form **MUST** be signed and attached to the front of all copies of your proposal.

**Attachment B**

**Disclosure of Prior Findings of Non-responsibility Form  
(Mandatory)**

Name of Individual or Entity seeking to enter the procurement contract:		
Address:		
Date:		
Solicitation or Agreement Number:		
Name and Title of Person Submitting this Form:		
Has any Governmental Entity made a finding of non-responsibility regarding the Individual or Entity seeking to enter the Procurement Contract in the last four years?	<input type="checkbox"/>	Yes
	<input type="checkbox"/>	No
Was the basis for the finding of non-responsibility due to a violation of §139-j of the State Finance Law?	<input type="checkbox"/>	Yes
	<input type="checkbox"/>	No
Was the basis for the finding of non-responsibility due to the intentional provision of false or incomplete information to a Governmental Entity?	<input type="checkbox"/>	Yes
	<input type="checkbox"/>	No
If you answered yes to any of the above questions, please provide details regarding the finding of non-responsibility:		
Government Agency or Authority:		
Date of Finding of Non-responsibility:		



Has any Governmental Entity or other governmental agency terminated or withheld a Procurement Contract with the above-named Individual or Entity due to the intentional provision of false or incomplete information?		Yes
		No

If you answered yes, please provide details:

Government Agency or Authority:

Date of Termination or Withholding of Contract:

Offerer certifies that all information provided to NYSERDA with respect to State Finance Law §139-k is complete, true, and accurate.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

# Workforce Training: Building Operations and Maintenance

Applicant and Customer Eligibility - The Customer listed on this Application must be an electric customer who pays the System Benefits Charge (SBC)/Clean Energy Fund (CEF) as part of its electric bill. The New York State Energy Research and Development Authority (NYSERDA) will determine the eligibility of the Applicant and Customer as part of the Application review process. The party seeking the incentive is the Applicant.

## FACILITY INFORMATION

Facility Name

Address City State Zip

Contact Person Title

Phone Number Email Address

Organization Mission

Total number of employees Number of employees that are certified building operators

Approximate number of employees that focus on the operation and maintenance of building(s)

## FACILITY DESCRIPTION AND KEY AREAS TARGETED FOR TRAINING

Description of building(s) that will directly participate in the workforce training project being proposed and targeted areas for training. Participating buildings MUST pay into the System Benefits Charge (SBC)/Clean Energy Fund (CEF). If there are multiple buildings, additional pages or a spreadsheet can be provided for convenience.

### Building #1

Facility Sector:

- Agriculture
- Commercial Retail
- Healthcare
- K-12 School
- College/University
- Data Center
- Hospitality
- Not-for-profit
- Commercial Office
- Government
- Industrial
- Other

Address City State Zip

Facility Square Footage Total Energy Cost (Annual \$)

Priority areas for energy efficiency improvements in building. (See categories in Section 1 for efficiency improvement areas.)



Estimated energy savings goal attributable to training for building (% total use) \_\_\_\_\_

Total number of operations and maintenance staff \_\_\_\_\_

List targeted occupations/job titles for training such as: facilities and property managers; operating and stationary engineers; technicians; building superintendents; maintenance workers; mechanics and supervisors; electricians; HVAC technicians; procurement staff; facility coordinators; and energy/sustainability managers.

**Building #2**

Facility Sector:

- |   |  |                                      |   |
|---|--|--------------------------------------|---|
| <input type="checkbox"/> Agriculture        | <input type="checkbox"/> Commercial Retail | <input type="checkbox"/> Healthcare  | <input type="checkbox"/> K-12 School    |
| <input type="checkbox"/> College/University | <input type="checkbox"/> Data Center       | <input type="checkbox"/> Hospitality | <input type="checkbox"/> Not-for-profit |
| <input type="checkbox"/> Commercial Office  | <input type="checkbox"/> Government        | <input type="checkbox"/> Industrial  | <input type="checkbox"/> Other          |

---

Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

---

Facility Square Footage \_\_\_\_\_ Total Energy Cost (Annual \$) \_\_\_\_\_

Priority areas for energy efficiency improvements in building. (See categories in Section 1 for efficiency improvement areas.)

Estimated energy savings goal attributable to training for building (% total use) \_\_\_\_\_

Total number of operations and maintenance staff \_\_\_\_\_

List targeted occupations/job titles for training such as: facilities and property managers; operating and stationary engineers; technicians; building superintendents; maintenance workers; mechanics and supervisors; electricians; HVAC technicians; procurement staff; facility coordinators; and energy/sustainability managers.

**Building #3**

Facility Sector:

- |   |  |                                      |   |
|---|--|--------------------------------------|---|
| <input type="checkbox"/> Agriculture        | <input type="checkbox"/> Commercial Retail | <input type="checkbox"/> Healthcare  | <input type="checkbox"/> K-12 School    |
| <input type="checkbox"/> College/University | <input type="checkbox"/> Data Center       | <input type="checkbox"/> Hospitality | <input type="checkbox"/> Not-for-profit |
| <input type="checkbox"/> Commercial Office  | <input type="checkbox"/> Government        | <input type="checkbox"/> Industrial  | <input type="checkbox"/> Other          |

Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Facility Square Footage \_\_\_\_\_ Total Energy Cost (Annual \$) \_\_\_\_\_

Priority areas for energy efficiency improvements in building. (See categories in Section 1 for efficiency improvement areas.)

Estimated energy savings goal attributable to training for building (% total use) \_\_\_\_\_

Total number of operations and maintenance staff \_\_\_\_\_

List targeted occupations/job titles for training such as: facilities and property managers; operating and stationary engineers; technicians; building superintendents; maintenance workers; mechanics and supervisors; electricians; HVAC technicians; procurement staff; facility coordinators; and energy/sustainability managers.

**PROPOSED CATEGORIES FOR TRAINING (check all that apply)**

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Boiler/Hot Water/Steam System | <input type="checkbox"/> Economizer/Ventilation Controls             | <input type="checkbox"/> Package/Split-System HVAC |
| <input type="checkbox"/> Chiller/Chilled Water Systems | <input type="checkbox"/> Fan Optimization/Air Distribution           | <input type="checkbox"/> Water Pump Optimization   |
| <input type="checkbox"/> Cooling Tower Optimization    | <input type="checkbox"/> HVAC Equipment Scheduling/Space Temperature |  |
| <input type="checkbox"/> Domestic Hot Water            | <input type="checkbox"/> Lighting                                    | <input type="checkbox"/> Other _____               |

## DESCRIPTION OF PROJECT OBJECTIVES AND SCOPE

### Add additional pages if necessary

Give a brief description of the proposed project including project objectives (1-2 paragraphs).

Provide the total number of staff to be trained (either as trainers or students) and a breakdown of number trained by title or occupation during the project.

How many staff members will be trained by the completion of the proposed Scope of Work, include the potential number of employees trained beyond the project (through a sustained corporate commitment to continue training beyond the project with NYSERDA) annually or over a specified time period. (List total number of employees by title or occupation.)

What will you do to ensure the project efforts are sustained beyond the project period and become integrated into the company culture? (1-2 paragraphs, also a required task in Scope of Work.)

[Empty response box for project sustainability plan]

Describe the energy and non-energy benefits to be tracked. Focus on the key benefits that will help make the business case for continuing training. (1-2 paragraphs, also a required task in Scope of Work.)

[Empty response box for energy and non-energy benefits tracking]

## SCOPE OF WORK AND TASKS TO BE PERFORMED

The Scope of Work is an action document that specifically delineates the steps required to accomplish the tasks outlined. The Scope of Work must include:

- Specific tasks and deliverables to develop an in-house energy training culture, infrastructure, and activities that result in continuous, organization-wide training to provide skills to new workers and/or advance the skills of existing workers.
- A task that outlines steps that will be taken to ensure the project results in a sustainable effort that is incorporated into the corporate culture.
- Clearly identified skill gaps being addressed and the training initiatives to alleviate those gaps.
- The type and number of workers being trained in each training task and overall.
- A task for measuring energy benefits associated with training.

The Scope of Work must be prepared as an ordered set of tasks, including subtasks as necessary. Each task requires a deliverable. The proposer is required to describe their approach/methodology and define their rationale for the proposed approach. They should describe the actions they will take to complete each task and the anticipated outcome of each task. Therefore, each action should be identified, indicating who will perform it, how and when it will be performed, and its anticipated measurable deliverables. **The Scope of Work must be provided and attached to this application as additional pages.**

### Example of task structure:

---

Task 1 Title:

---

Task 1.A

---

Task 1.B

---

Task 1.C

---

Task 1 Deliverables

## SCHEDULE

Please provide an anticipated schedule for completing tasks. This schedule can be in weeks or months from contract execution and should be for a maximum of 24 months. The schedule should correspond to the individual tasks and budget. Example below.

### Schedule Example

Task No.	Title or Description	January 2017	February 2017	March 2017	April 2017	May 2017	June 2017	July 2017	August 2017	September 2017	October 2017	November 2017	December 2017
1.	Train Trainers												
2.	Develop Internship Program												
3.													
4.													
5.													
6.													

## BUDGET

Complete Budget tables or equivalent by task. Provide total cost breakdown between applicant co-share and NYSERDA share. Co-share may include cash and in-kind funds.

Task	NYSERDA Amount	Applicant co-share	Total
1. Train trainer	\$ 2,500	\$ 2,500	\$ 5,000
2. Develop internship program	\$ 6,000	\$ 4,000	\$ 10,000
3. Purchase Equipment	\$ 1,500	\$ 3,500	\$ 5,000
4.	\$	\$	\$
5.	\$	\$	\$
6.	\$	\$	\$
7.	\$	\$	\$
<b>Total</b>	<b>\$ 10,000</b>	<b>\$ 10,000</b>	<b>\$ 20,000</b>

Cost-sharing for individual tasks may vary between applicant and NYSERDA; However, total cost must result in a 50/50 split.

### Breakdown of Total Costs by Element and By Task (Complete for each task)

<b>Cost Element</b>
Direct Materials
Direct Labor
Equipment
Travel
Other Direct Costs
Subcontractors/Consultants

## AGREEMENT AND SIGNATURE

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

Applicant Name and Title: \_\_\_\_\_

Applicant Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Attachment D**  
**SCOPE OF WORK (Example)**

Company Name  
Project Director Name  
Street Address  
City, State Zip code  
Email/Phone/Fax

**TRAINING OBJECTIVES**

The objectives to be accomplished under this Agreement with x, hereafter known as the Contractor, are the following: *Briefly discuss (in approximately two paragraphs) the identified talent needs or skills gaps, how your project will address them, and how many total individuals will participate.*

**TASK 1 – PARTNERSHIPS/SUBCONTRACTS - If Applicable to Your Project**

The Contractor shall enter into Subcontracts with the following organizations to achieve the objectives of this project. *If subcontractors or partners will participate, please list them, and briefly describe each organization's role and responsibilities.*

Regardless of subcontracting or other partnering arrangements, the Contractor shall be solely responsible for the timely completion of all the tasks in the Statement of Work. The Contractor shall complete all project management activities necessary for the performance of this Statement of Work, as per attached schedule and budget, which shall include the following activities:

- Coordinate the work of the Contractor's employees and those of Subcontractors and equipment vendors that are undertaking tasks described in this Statement of Work;
- Ensure control over the project budget and adherence to the project schedule; and
- Provide all project reporting to NYSERDA as specified in this Statement of Work.

Task 1 Deliverables: Copies of all Subcontracts and/or partnership agreements

***The Contractor shall not progress to Task 2 without first receiving written approval from the NYSERDA Project Manager. Such approval shall be based upon the acceptability to NYSERDA of any Subcontracts described in Task 1 and shall be granted or withheld at NYSERDA's sole discretion.***

**TASK 2: CURRICULUM DEVELOPMENT**

The Contractor shall develop, or direct (*name Subcontractor*) to develop, and submit to NYSERDA training curriculum that reflects current standards and best practices, as identified by independent and nationally-recognized subject matter experts, for each of the following classes: *List classes here.*

The Contractor shall develop a set of training materials to accompany each curriculum. These materials shall include, but not be limited to, a syllabus, presentation materials, worksheets, and field

training requirements and shall be provided for review and approval by the NYSERDA Project Manager in advance of any training.

Task 2 Deliverables:

- Training curriculum that reflects current standards and best practices
- Training materials for review/approval by the NYSERDA Project Manager in advance of any training

**TASK 3: CONDUCT TRAINING**

The Contractor shall implement screening procedures to ensure those seeking training meet the minimum requirements or possess the necessary prerequisites for the course(s) they wish to attend. *Briefly describe prerequisites or screening procedures, if applicable.*

The Contractor shall ensure all courses to be delivered meet the following criteria:

- Focus on the expectations, needs, and job requirements of the audience.
- Provide timely and high-quality content to address the objectives as described.
- Incorporate the use of hands-on exhibits and demonstrations, as applicable to the subject.
- Advance students' skills, prepare them for nationally-recognized certification programs, and/or lead to continuing education units (CEUs).
- Provide consistent messaging and delivery for the same materials in different training sessions.

The Contractor shall deliver the following courses: *List all courses and location where the courses will be delivered.*

The Contractor shall provide a course outline for each course to be delivered for review/approval by the NYSERDA Project Manager in advance of any training. Further, the Contractor shall provide the necessary staff capable of teaching the appropriate curricula for each course to be delivered.

The Contractor shall provide each attendee pre- and post-training surveys, which will be furnished by NYSERDA, and shall submit completed surveys, class rosters, and monthly metrics reports to the NYSERDA Project Manager, as described in Task 7.

Task 3 Deliverables:

- Resumes of instructors
- Course outlines for review by the NYSERDA Project Manager in advance of any training
- Completed pre- and post-training surveys for each training session
- Class roster for each training session and monthly cumulative training metrics

**TASK 4: INTERNSHIPS**

The Contractor shall ensure that a minimum of  $x$  training participants are placed in experiential, energy-related learning opportunities focusing on building and operations skills and occupations. The Contractor shall provide to the NYSERDA Project Manager a list of all internships with a description of each internship, location of the internships and the salary for each intern for approval prior to internship placement.



The Contractor shall screen intern candidates, administer payroll, mentor the interns during their internships, and assess progress. The Contractor shall monitor interns after placements and will report to NYSERDA the number obtaining long term, permanent employment with the Contractor.

Task 4 Deliverables:

- Internship report to be submitted to the NYSERDA Project Manager showing the number of participants placed in internships and the number of interns obtaining long term employment.

**TASK 5: ON-THE-JOB TRAINING**

The Contractor shall screen employees and identify candidates to participate in an on-the-job training program. An on-the-job training program is a formal period for **new** employees, directed by a training plan that is developed by an employer to teach the skills necessary for employment in that position. The training plan can be developed in partnership with a training provider and may be a combination of training on the job-site, supplemented by classroom training.

Once candidates have been identified, the Contractor shall provide to the NYSERDA Project Manager a detailed Training Plan for review/approval before training begins. Required information will include, but not be limited to, the following:

- Name of the employee(s) and current position(s)
- Identified training needs and goals
- Description of occupational skills to be learned on the job
- Wage/payroll information

The Contractor shall submit necessary data to NYSERDA for the reimbursement of wages for new employees participating in the on-the-job training program and the demonstrated cost-share by the business at a rate of 50%. The incentive for wage subsidy for new employees participating in on-the-job training is for a maximum period of six-months under this contract. NYSERDA will not reimburse employment beyond six months.

Additional incentives may be paid for reimbursement of outside training and related expenses, when applied for and reviewed/approved in advance by the NYSERDA Project Manager. The Contractor shall provide invoices and other required documentation as evidence that costs have been incurred and are consistent with program goals and requirements.

Task 5 Deliverables:

- Final training plans
- Salary statements, payroll data, and invoices for review by the NYSERDA Project Manager

**TASK 6: PLAN TO SUSTAIN TRAINING AFTER THE CONTRACT IS COMPLETE**

The Contractor shall develop a corporate strategy and Sustainability Plan to integrate new training initiatives within standard business procedures and merge training into the corporate culture to ensure continuation of training to address specific skills gaps and changing market needs. The Sustainability Plan should demonstrate how a project can be replicated throughout an organization, either as part of

the scope or work or through future efforts to sustain training activities beyond the project scope proposed. Include any future funding sources or partnerships to be leveraged as part of the Sustainability Plan.

Task 6 Deliverables:

- Sustainability Plan

**TASK 7 – PLAN TO MONITOR AND VERIFY ENERGY AND NON-ENERGY BENEFITS**

The Contractor shall develop a Project Benefits Plan to measure and verify energy and non-energy benefits associated with the workforce training initiatives. The Project Benefits Plan shall include energy savings targets and tasks to measure and verify savings. The Plan must identify energy savings goals (kWh and MWh) and outline plans to monitor and verify energy savings over a reasonable time (such as over 6-12 months or a time period that addresses seasonal energy consideration, i.e., through two heating or cooling cycles). The Projects Benefit Plan shall include details on how energy savings will be verified, such as through bill analyses or data monitoring equipment.

Further, the Plan shall identify non-energy goals and benefits and provide details on how non-energy benefits shall be measured or monitored. The Plan should address non-energy benefits such as, but not limited to reduced staff turnover, increased occupant satisfaction, reduced tenant turnover, reduced equipment downtime, and increased number of worker certifications as appropriate.

Task 7 Deliverables:

- Project Benefit Plan to measure and verify energy and non-energy benefits associated with workforce training initiatives implemented during the project.

**TASK 8 – EVALUATION**

The Contractor shall develop and administer evaluation instruments to gauge the success of the program and gather suggestions for improvement. Advance copies of all evaluation instruments shall be provided to the NYSERDA Project Manager before they are administered. Furthermore, the Contractor shall provide attendees with pre- and post-training surveys, using templates which will be furnished by NYSERDA, and shall also provide necessary metrics and data required by NYSERDA and described below.

Upon completion of all contracted training sessions the Contractor or its partners shall submit to the NYSERDA Project Manager the completed pre- and post-training surveys within two (2) weeks after each training and a summary of student performance within 30 days. This report shall include gathered project intelligence on number of students enrolled, number of students completing, student pass rate, and certifications achieved (if applicable).

Task 8 Deliverables:

- Evaluation instruments for review by the NYSERDA Project Manager
- Completed pre- and post-training surveys

**TASK 9 – REPORTING**

Reporting is basic to communication between the Contractor and NYSERDA's Project Manager. Reporting is necessary to measure progress and as a basis upon which the Project Manager assesses whether or not to approve the Contractor's invoices. **The NYSERDA Project Manager will not approve invoices during the course of this contract if all reporting is not current and provided in a satisfactory manner with appropriate detail as set forth below.**

The Contractor shall provide quarterly reports, within two (2) weeks of the last quarter, to NYSERDA's Project Manager electronically and shall deliver a Final Report, within 30 days after contract end date that summarizes the entire project. The Contractor shall report in detail on the progress for each task listed in this Statement of Work.

Reports shall include the following information:

- Title of project and contract number
- Reporting period
- Project progress, including tasks completed in quarter, tasks left to complete, etc.
- Information shall be provided in sections labeled as Task 1 (a, b, c), Task 2 (a, b, c), etc.
- Feedback from instructors delivering training
  - Identification of issues or concerns
  - Planned solutions
  - Areas where NYSERDA assistance is needed
- Status of curriculum updates, including submission of revised syllabus (if applicable)
- Metrics:
  - Summary of recruitment and training efforts
  - Complete list of courses conducted during the reporting period, including course titles, dates, instructor name and contact information, and locations where the training sessions were held
  - Completed pre- and post-training surveys
- All costs incurred to conduct student courses during the contract period
- List of materials purchased, if applicable

Task 9 Deliverables:

- Quarterly reports (electronic); Final Report; other reports as requested by the NYSERDA Project Manager

## Attachment E

### NYSERDA - INSTRUCTIONS FOR ELECTRONICALLY SUBMITTING PROPOSALS

**Please read the following instructions before submitting a proposal.**

1. Submit one proposal for each session.
2. Enter your e-mail address and click the “Validate Email” button to generate an automated email.
3. Check your email for the auto-generated email containing a link to validate your email address. Click the link to be taken back to the Funding Opportunity page and to begin the online submission process.
4. Upload as many files as needed, one at a time.
5. The electronic file names should include the proposing entity’s name in the title of the document. Note: there is a **100** characters limit.
6. You may submit Word, Excel, Zip, or PDF files. Individual files should be less than **1GB** file size.
7. PDF files must be searchable and therefore should be converted directly from an electronic document to PDF, rather than scanned.
8. After clicking the “Upload File” button, a list of your files will appear on the web page. You can delete files from this list if needed.
9. After all necessary files have been uploaded, review the list of documents to ensure that your proposal is complete and accurate.
10. Click the “Submit Proposal button.”
11. You will then be brought to a confirmation page listing the files received. Please print and save the confirmation page.
12. An auto-generated confirmation e-mail will be sent to the e-mail address you entered. Please save this e-mail.
13. When choosing to submit files electronically, the award/non-award notification letter will be sent to the e-mail address of the **Primary Contact listed on the Proposal Checklist.**

#### **Important Reminders:**

1. **The electronic proposal system closes promptly at 5pm Eastern Time on the due date of the solicitation.** Files in process or attempted for submission after 5pm will be locked out of the system. Please allow at least 15-30 minutes to enter/submit proposals.
2. E-mail or facsimile (fax) submittals will not be accepted.

#### **If you make an error:**

If after you click “Submit Proposals” you discover that a document(s) you submitted is incomplete or inaccurate follow these instructions:

1. Start the process over again and **resubmit the entire proposal.** You will receive another confirmation e-mail.
2. Immediately forward both confirmation e-mails (original and resubmission) to [proposals@nyserda.ny.gov](mailto:proposals@nyserda.ny.gov) with the subject line of “**Resubmittal**” and the PON/RFP/RFQ number.
3. NYSERDA will accept the second submission as your proposal. The first submission will be disregarded.

#### **If you need help:**

If you need help with this electronic proposal submission process, please contact Jill Baxter at [Jillina.Baxter@nyserda.ny.gov](mailto:Jillina.Baxter@nyserda.ny.gov) or 518-862-1090 ext. 3279 and the Program contact listed in the solicitation.

**ATTACHMENT F – SAMPLE AGREEMENT**

**New York State Energy Research and Development Authority  
("NYSERDA")**

**AGREEMENT**

1. Agreement Number:
2. Contractor:
3. Project Director:
4. Effective Date:
5. Total Amount of Award:
6. Project Period:
7. Commitment Terms and Conditions

This Agreement consists of this form plus the following documents:

- Exhibit A, Statement of Work;
- Exhibit B, General Contract Provisions, Terms and Conditions;
- Exhibit C, Standard Terms and Conditions;
- Exhibit D, Prompt Payment Policy Statement; and
- Exhibit E, 2012 Report Content Guide.

8. ACCEPTANCE. THIS AGREEMENT SHALL NOT BECOME EFFECTIVE UNLESS EXECUTED BELOW BY NYSERDA.

[CONTRACTOR]

**NEW YORK STATE ENERGY  
RESEARCH AND  
DEVELOPMENT AUTHORITY**

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

Name \_\_\_\_\_

Jeffrey J. Pitkin  
Treasurer

Title \_\_\_\_\_

STATE OF )  
 ) SS.:  
COUNTY OF )

On the \_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_, before me, the undersigned, a Notary Public in and for said State, personally appeared \_\_\_\_\_, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that by his/her/their signature(s) on the instrument the individual(s), or the person upon behalf of which the individual(s) acted, executed the document.

**SAMPLE**

\_\_\_\_\_  
Notary Public

**EXHIBIT A  
STATEMENT OF WORK**

*See Attachment D to PON 3442: Sample Scope of Work*

**SAMPLE**

EXHIBIT B

GENERAL CONTRACT PROVISIONS, TERMS AND CONDITIONS

Article I

Definitions

Section 1.01. Definitions. Unless the context otherwise requires, the terms defined below shall have, for all purposes of this Agreement, the respective meanings set forth below, the following definitions to be equally applicable to both the singular and plural forms of any of the terms defined.

(a) General Definitions:

Agreement: This Agreement shall consist of Page One and the Exhibits noted thereon, all of which are made a part hereof as if set forth here in full.

Budget: The Budget set forth at Exhibit A hereto.

Cash-based Expenses: Those obligations of Contractor that shall be settled in cash.

Contract Administrator: NYSERDA, Director of Contract Management, Cheryl M. Glanton, or such other person who may be designated, in writing, by NYSERDA.

Contract Information: Recorded information regardless of form or characteristic first produced in the performance of this Agreement, that is specified to be compiled under this Agreement, specified to be delivered under this Agreement, or that is actually delivered in connection with this Agreement, and including the Final Report delivered by Contractor pursuant to Exhibit A, Statement of Work, if applicable.

Proprietary Information: Recorded information regardless of form or characteristic produced or developed outside the scope of this Agreement and without NYSERDA financial support, provided that such information is not generally known or available from other sources without obligation concerning their confidentiality; has not been made available by the owner to others without obligation concerning its confidentiality; and is not already available to NYSERDA without obligation concerning its confidentiality. Under no circumstances shall any information included in the Final Report delivered by Contractor pursuant to Exhibit A, Statement of Work, if applicable, be considered Proprietary Information.

Person: An individual, a corporation, an association or partnership, an organization, a business or a government or political subdivision thereof, or any governmental agency or instrumentality.



Responsible: Responsible or Responsibility means the financial ability, legal capacity, integrity and past performance of Contractor and as such terms have been interpreted relative to public procurements. See NYS Finance Law § 163(1)(c).

Statement of Work: The Statement of Work attached hereto as Exhibit A.

Subcontract: An agreement for the performance of Work by a Subcontractor, including any purchase order for the procurement of permanent equipment or expendable supplies in connection with the Work.

Subcontractor: A person who performs Work directly or indirectly for or on behalf of the Contractor (and whether or not in privity of contract with the Contractor) but not including any employees of the Contractor or the Subcontractors.

Work: The Work described in the Exhibit A (including the procurement of equipment and supplies in connection therewith) and the performance of all other requirements imposed upon the Contractor under this Agreement.

## Article II

### Performance of Work

Section 2.01. Manner of Performance. Subject to the provisions of Article XII hereof, the Contractor shall perform all of the Work described in the Statement of Work, or cause such Work to be performed in an efficient and expeditious manner and in accordance with all of the terms and provisions of this Agreement. The Contractor shall perform the Work in accordance with the current professional standards and with the diligence and skill expected for the performance of work of the type described in the Statement of Work. The Contractor shall furnish such personnel and shall procure such materials, machinery, supplies, tools, equipment and other items as may reasonably be necessary and appropriate to perform the Work in accordance with this Agreement.

Section 2.02. Project Personnel. It is understood and agreed that the Project Director identified at Item V, Page One of this Agreement shall be responsible for the overall supervision and conduct of the Work on behalf of the Contractor and that the persons described in the Statement of Work shall serve in the capacities described therein. Any change of Project Director by the Contractor shall be subject to the prior written approval of NYSERDA. Such approval shall not be unreasonably withheld, and, in the event that notice of approval or disapproval is not received by the Contractor within thirty (30) days after receipt of request for approval by NYSERDA, the requested change in Project Director shall be considered approved. In the event that NYSERDA requires additional time for considering approval, NYSERDA shall notify the Contractor within thirty (30) days of receipt of the request for approval that additional time is required and shall specify the additional amount of time necessary up to thirty (30) days.

Section 2.03. Title to Equipment. Title shall vest in the Contractor to all equipment purchased hereunder.

*[OR, if specific equipment has been identified by the Project Manager for NYSERDA to retain title in, then use the following:]*

Section 2.03. Title to Equipment. Title shall vest in NYSERDA to all of the following equipment purchased hereunder:

- 1)
- 2)
- 3)
- 4)

Upon the request of NYSERDA, the Contractor shall execute, acknowledge, deliver and perform, or cause to be executed, acknowledged, delivered or performed, all such bills of sale, assignments, conveyances or other documents or acts as NYSERDA may reasonably request in order to assure the better holding in and confirming to NYSERDA, its successor and assigns, of title to and possession of such equipment. If, after six (6) months following the later of (a) Contractor's completion of the obligations, (b) completion of the Work, or (3) the termination of the Agreement, NYSERDA has not removed any such equipment, it will be deemed abandoned and become the property of the Contractor. Any such removal of equipment by NYSERDA shall be at NYSERDA's expense.

#### Article III

##### Deliverables

Section 3.01. Deliverables. All deliverables shall be provided in accordance with the Exhibit C Statement of Work.

#### Article IV

##### Payment

Section 4.01. Payment Terms. It is understood and agreed that NYSERDA and the Contractor are sharing the costs for the Work to be performed. In consideration for this Agreement and as NYSERDA's full payment for the costs of the performance of all Work, and in respect of all other direct and indirect costs, charges or expenses incurred in connection therewith, NYSERDA shall pay to the Contractor amounts not to exceed the maximum amount set forth in Item 5, Page One of this Agreement for the cost elements identified in the Budget to be funded with NYSERDA funds, subject to the provisions and restrictions contained herein, including, without limitation, the Prompt Payment Policy Statement attached hereto as Exhibit D. NYSERDA's payments shall be on a

reimbursement basis, and shall be paid only to the extent that Cash-based Expenses are incurred by the Contractor in performance of the Work in accordance with the provisions of this Agreement, and the following:

(a) Staff Charges: To the extent Cash-based Expenses are incurred by the Contractor, Contractor shall be reimbursed for amounts paid to its employees for the services performed by its employees under the terms of this Agreement at the lesser of the employee's wage rate as shown in the Budget or the actual wages paid to the employee and applicable at the time the Work is performed.

(b) Direct Charges: To the extent Cash-based Expenses are incurred by the Contractor, the Contractor shall be reimbursed for reasonable and necessary actual direct costs incurred (e.g., equipment, supplies, travel and other costs directly associated with the performance of the Agreement) to the extent required in the performance of the Work and to the extent such costs are anticipated in the Budget. Travel, lodging, meals and incidental expenses shall be reimbursed for reasonable and necessary costs incurred. Costs shall not exceed the daily per diem rates published in the Federal Travel Regulations. Reimbursement for the use of personal vehicles shall be limited to the Internal Revenue Service business standard mileage rate in effect at the time the expense was incurred.

(c) Indirect Costs: The Contractor shall be reimbursed for fringe benefits, overhead, general and administrative (G&A), and other indirect costs, all at the fixed rate as shown in the Budget. Contractor hereby warrants and guarantees, in accordance with Section 9.01(k) hereto, that the rates for the foregoing indirect costs charged herein have been determined based on the Contractor's reasonably anticipated indirect costs during the term of the Agreement and calculated consistent with generally accepted accounting principles.

#### Section 4.02. Payment

(a) Invoicing: Subject to any applicable provisions set forth in Exhibit A, Statement of Work, at the completion of each Milestone Event so identified, the Contractor shall submit invoices, including documentation reasonably sufficient to demonstrate completion, requesting payment by NYSERDA of the amounts corresponding to the amounts indicated in Exhibit A, Statement of Work, including evidence of the Contractor's cost share, if applicable. Invoices shall be submitted electronically to NYSERDA's online invoice system at: <https://services.nyserda.ny.gov/Invoices/> or, if this project is managed through NYSERDA's Salesforce application, via NYSERDA's Salesforce Contractor Portal with the Contractor's log-in credentials. If electronic submission is not possible, invoices may be addressed to NYSERDA, "Attention: Accounts Payable." Such invoices shall reference the purchase order number, which will be generated and provided to the Contractor upon contract execution, and the Agreement number shown at Item 1 on page 1 of this Agreement. In accordance with and subject to the provisions of Exhibit D,

NYSERDA shall pay to the Contractor, within the prescribed time after receipt of an invoice, the amount so requested, unless NYSERDA should determine that any such payment or any part thereof is otherwise not properly payable pursuant to the terms of the Agreement.

Section 4.03. Final Payment. Upon final acceptance by NYSERDA of all deliverables contained in Exhibit A, Statement of Work, pursuant to Section 6.02 hereof, the Contractor shall submit an invoice for final payment with respect to the Work, together with such supporting information and documentation as, and in such form as, NYSERDA may require. All invoices for final payment hereunder must, under any and all circumstances, be received by NYSERDA within six (6) months following Acceptance of Work pursuant to Section 6.02 hereof. In accordance with and subject to the provisions of NYSERDA's Prompt Payment Policy Statement, attached hereto as Exhibit D, NYSERDA shall pay to the Contractor within the prescribed time after receipt of such invoice for final payment, the total amount payable pursuant to Section 4.01 hereof, less all progress payments/milestone payments previously made to the Contractor with respect thereto and subject to the maximum commitment set forth in Section 4.06 hereof.

Section 4.04. Release by the Contractor. The acceptance by the Contractor of final payment shall release NYSERDA from all claims and liability that the Contractor, its representatives and assigns might otherwise have relating to this Agreement.

Section 4.05. Maintenance of Records. The Contractor shall keep, maintain, and preserve at its principal office throughout the term of the Agreement and for a period of three years after acceptance of the Work, full and detailed books, accounts, and records pertaining to this Agreement, including without limitation, all data, bills, invoices, payrolls, time records, expense reports, subcontracting efforts and other documentation evidencing, or in any material way related to, Contractor's performance under this Agreement.

Section 4.06. Maximum Commitment. The maximum aggregate amount payable by NYSERDA to the Contractor shall be the amount appearing at Item 5 of page one of this Agreement. NYSERDA shall not be liable for any costs or expenses in excess of such amount incurred by the Contractor in the performance and completion of the Work.

Section 4.07. Audit. NYSERDA shall have the right from time to time and at all reasonable times during the term of this Agreement and for the maintenance period set forth in Section 4.05 hereof to inspect and audit any and all books, accounts and records related to this Agreement or reasonably necessary to the performance of an audit at the office or offices of the Contractor where they are then being kept, maintained and preserved pursuant to Section 4.05 hereof. Any payment made under the Agreement shall be subject to retroactive reduction for amounts included therein which are found by NYSERDA on the basis of any audit of the Contractor by NYSERDA, the State of New

York or an agency of the United States not to constitute an allowable charge or cost hereunder.

## Article V

### Assignments, Subcontracts and Performance

Section 5.01. General Restrictions. Except as specifically provided otherwise in this Article, the assignment, transfer, conveyance, subcontracting or other disposal of this Agreement or any of the Contractor's rights, obligations, interests or responsibilities hereunder, in whole or in part, without the express consent in writing of NYSERDA shall be void and of no effect as to NYSERDA.

Section 5.02. Subcontract Procedures. Without relieving or in any way limiting, its obligations to NYSERDA under this Agreement, the Contractor may enter into Subcontracts for the performance of Work or for the purchase of material or equipment. Except for a subcontractor or supplier specified in a team arrangement with the Contractor in the Contractor's original proposal and except for any subcontract or order for equipment, supplies or materials from a single subcontractor or supplier totaling less than \$50,000, the Contractor shall select all subcontractors or suppliers through a process of competitive bidding or multi-source price review. A team arrangement is one where a subcontractor or supplier specified in the Contractor's proposal is performing a substantial portion of the Work and is making a substantial contribution to the management and/or design of the Project. In the event that a competitive bidding or multi-source price review is not feasible, the Contractor shall document an explanation for, and justification of, a sole source selection. The Contractor shall document the process by which a subcontractor or supplier is selected by making a record summarizing the nature and scope of the work, equipment, supplies or materials sought, the name of each person or organization submitting or requested to submit, a bid or proposal, the price or fee bid, and the basis for selection of the subcontractor or supplier. An explanation for, and justification of, a sole source selection must identify why the work, equipment, supplies or materials involved are obtainable from or require a subcontractor with unique or exceptionally scarce qualifications or experience, specialized equipment, or facilities not readily available from other sources, or patents, copyrights, or proprietary data. All Subcontracts shall contain provisions comparable to those set forth in this Agreement applicable to a subcontractor or supplier, and those set forth in Exhibit C to the extent required by law, and all other provisions now or hereafter required by law to be contained therein. Each Subcontract shall make express reference to this Agreement, and shall state that in the event of any conflict or inconsistency between any Subcontract and this Agreement, the terms and conditions of this Agreement shall control as between Subcontractor and Contractor. If this Agreement includes a provision requiring Contractor to make Payments to NYSERDA for the Sale or Licensing of a Product, each Subcontract shall include the provisions of Section 8.02, suitably modified to identify the parties. The Contractor shall submit to NYSERDA's Contract Administrator for review

and written approval any subcontract(s) specified in the Statement of Work as requiring NYSERDA approval, including any replacements thereof.

Section 5.03. Performance. The Contractor shall promptly and diligently comply with its obligations under each Subcontract and shall take no action that would impair its rights thereunder. The Contractor shall take no action, and shall take all reasonable steps to prevent its Subcontractors from taking any action, that would impair NYSERDA's rights under this Agreement. The Contractor shall not assign, cancel or terminate any Subcontract without the prior written approval of NYSERDA's Contract Administrator as long as this Agreement remains in effect. Such approval shall not be unreasonably withheld and, in the event that notice of approval or disapproval is not received by the Contractor within thirty days after receipt of request for approval by NYSERDA, the requested assignment, cancellation, or termination of the Subcontract shall be considered approved by NYSERDA. In the event that NYSERDA requires additional time for considering approval, NYSERDA shall notify the Contractor within thirty (30) days of receipt of the request for approval that additional time is required and shall specify the additional amount of time necessary up to sixty (60) days.

## Article VI

### Schedule; Acceptance of Work

Section 6.01. Schedule. The Work shall be performed as expeditiously as possible in conformity with the schedule requirements contained herein and in the Statement of Work. The draft and final versions of all deliverables shall be submitted by the dates specified in the Exhibit A Schedule. It is understood and agreed that the delivery of the draft and final versions of all deliverables by the Contractor shall occur in a timely manner in accordance with the requirements of the Exhibit A Schedule.

Section 6.02. Acceptance of Work. The completion of the Work shall be subject to acceptance by NYSE DPX in writing of all deliverables as defined in Exhibit A, Statement of Work.

## Article VII

### Force Majeure

Section 7.01. Force Majeure. Neither party hereto shall be liable for any failure or delay in the performance of its respective obligations hereunder if and to the extent that such delay or failure is due to a cause or circumstance beyond the reasonable control of such party, including, without limitation, acts of God or the public enemy, expropriation or confiscation of land or facilities, compliance with any law, order or request of any Federal, State, municipal or local governmental authority, acts of war, rebellion or sabotage or damage resulting therefrom, fires, floods, storms, explosions,

accidents, riots, strikes, or the delay or failure to perform by any Subcontractor by reason of any cause or circumstance beyond the reasonable control of such Subcontractor.

## Article VIII

### Rights in Information; Confidentiality

#### Section 8.01. Rights in Contract and Proprietary Information; Confidentiality.

(a) NYSERDA shall have the right to use, duplicate, or disclose Contract Information, in whole or in part, in any manner and for any purpose whatsoever, and to permit others to do so.

(b) The Contractor shall have the right to use Contract Information for its private purposes, subject to the provisions of this Agreement.

(c) NYSERDA shall have no rights to Proprietary Information.

(d) No information shall be treated by NYSERDA as confidential unless such information is clearly so marked by Contractor at the time it is disclosed to NYSERDA; see Exhibit C regarding NYSERDA's obligations under the Freedom of Information Law. Under no circumstances shall any information included in the Final Report delivered by Contractor pursuant to Exhibit B, Statement of Work, be considered confidential or Proprietary Information.

(e) The Contractor agrees that to the extent it receives or is given any information from NYSERDA or NYSERDA contractor or subcontractor, the Contractor shall treat such data in accordance with any restrictive legend contained thereon or instructions given by NYSERDA unless its use is specifically authorized by prior written approval from NYSERDA Project Manager. Contractor acknowledges that in the performance of the Work under this Agreement, Contractor may come into possession of personal information as that term is defined in Section 92 of the New York State Public Office Law. Contractor agrees not to disclose any such information without the consent of NYSERDA.

## Article IX

### Warranties and Guarantees

Section 9.01. Warranties and Guarantees. The Contractor warrants and guarantees that:

(a) all information provided and all representations made by Contractor as a part of the Proposal Checklist or application, if any, submitted to NYSERDA in order to

obtain this Agreement were, to the best of Contractor's knowledge, complete, true and accurate when provided or made;

(b) as of the Effective Date, it is financially and technically qualified to perform the Work, and is qualified to do business and is in good standing in all jurisdictions necessary for Contractor to perform its obligations under this Agreement;

(c) it is familiar with and will comply with all general and special Federal, State, municipal and local laws, ordinances and regulations, if any, that may in any way affect the performance of this Agreement;

(d) the design, supervision and workmanship furnished with respect to performance of the Work shall be in accordance with sound and currently accepted scientific standards and engineering practices;

(e) all materials, equipment and workmanship furnished by it and by Subcontractors in performance of the Work or any portion thereof shall be free of defects in design, material and workmanship, and all such materials and equipment shall be of first-class quality, shall conform with all applicable codes, specifications, standards and ordinances and shall have service lives and maintenance characteristics suitable for their intended purposes in accordance with sound and currently accepted scientific standards and engineering practices;

(f) neither the Contractor nor any of its employees, agents, representatives or servants has actual knowledge of any patent issued under the laws of the United States or any other matter which could constitute a basis for any claim that the performance of the Work or any part thereof infringes any patent or otherwise interferes with any other right of any Person;

(g) to the best of Contractor's knowledge, there are no existing undisclosed or threatened legal actions, claims, or encumbrances, or liabilities that may adversely affect the Work or NYSERDA's rights hereunder;

(h) it has no actual knowledge that any information or document or statement furnished by the Contractor in connection with this Agreement contains any untrue statement of a material fact or omits to state a material fact necessary to make the statement not misleading, and that all facts have been disclosed that would materially adversely affect the Work;

(i) all information provided to NYSERDA with respect to State Finance Law Sections 139-j and 139-k is complete, true and accurate;



(j) Contractor is familiar with and will comply with NYSERDA's Code of Conduct for Contractors, Consultants, and Vendors with respect to the performance of this Agreement;<sup>1</sup> and

(k) its rates for the indirect costs charged herein have been determined based on the Contractor's reasonably anticipated indirect costs during the term of the Agreement and calculated consistent with generally accepted accounting principles.

(l) Contractor shall at all times during the Agreement term remain Responsible, and Contractor agrees, if requested by NYSERDA, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.

## Article X

### Indemnification

Section 10.01. Indemnification. The Contractor shall protect, indemnify and hold harmless NYSERDA and the State of New York from and against all liabilities, losses, claims, damages, judgments, penalties, costs 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 Contractor's or its Subcontractors' performance of this Agreement. The obligations of the Contractor under this Article shall survive any expiration or termination of this Agreement, and shall not be limited by any enumeration herein of required insurance coverage.

## Article XI

### Insurance

Section 11.01. Maintenance of Insurance; Policy Provisions. The Contractor, at no additional direct cost to NYSERDA, shall maintain or cause to be maintained throughout the term of this Agreement, insurance of the types and in the amounts specified in the Section hereof entitled Types of Insurance. All such insurance shall be evidenced by insurance policies, each of which shall:

(a) except policies in evidence of insurance required under Section 11.02(b), name or be endorsed to cover NYSERDA, the State of New York and the Contractor as additional insureds;

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<sup>1</sup><http://www.nyserda.ny.gov/About/Board-Governance.aspx>

(b) provide that such policy may not be cancelled or modified until at least 30 days after receipt by NYSERDA of written notice thereof; and

(c) be reasonably satisfactory to NYSERDA in all other respects.

Section 11.02. Types of Insurance. The types and amounts of insurance required to be maintained under this Article are as follows:

(a) Commercial general liability insurance for bodily injury liability, including death, and property damage liability, incurred in connection with the performance of this Agreement, with minimum limits of \$1,000,000 in respect of claims arising out of personal injury or sickness or death of any one person, \$1,000,000 in respect of claims arising out of personal injury, sickness or death in any one accident or disaster, and \$1,000,000 in respect of claims arising out of property damage in any one accident or disaster; and

(b) Workers Compensation, Employers Liability and Disability Benefits as required by New York State.

Section 11.03. Delivery of Policies and Insurance Certificates. Prior to commencing the Work, the Contractor shall deliver to NYSERDA certificates of insurance issued by the respective insurers, indicating the agreement number thereon, evidencing the insurance required by Article XI hereof. In the event any policy furnished or carried pursuant to this Article will expire on a date prior to acceptance of the Work by NYSERDA pursuant to the provision hereof entitled Acceptance of Work, the Contractor, not less than 15 days prior to such expiration date, shall deliver to NYSERDA certificates of insurance evidencing the renewal of such policies, and the Contractor shall promptly pay all premiums when due. In the event of threatened legal action, claims, encumbrances, or liabilities that may affect NYSERDA hereunder, or if deemed necessary by NYSERDA during a review, upon request the Contractor shall deliver to NYSERDA a certified copy of each policy.

## Article XII

### Stop Work Order; Termination; Non-Responsibility

Section 12.01. Stop Work Order.

(a) NYSERDA may at any time, by written Order to the Contractor, require the Contractor to stop all or any part of the Work called for by this Agreement for a period of up to ninety (90) days after the Stop Work Order is delivered to the Contractor, and for any further period to which the parties may agree. Any such order shall be specifically identified as a Stop Work Order issued pursuant to this Section. Upon receipt of such an Order, the Contractor shall forthwith comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the Work covered by the Order during

the period of work stoppage consistent with public health and safety. Within a period of ninety (90) days after a Stop Work Order is delivered to the Contractor, or within any extension of that period to which the parties shall have agreed, NYSERDA shall either:

- (i) by written notice to the Contractor, cancel the Stop Work Order, which shall be effective as provided in such cancellation notice, or if not specified therein, upon receipt by the Contractor, or
- (ii) terminate the Work covered by such order as provided in the Termination Section of this Agreement.

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

- (i) the Stop Work Order results in an increase in the time required for, or in the Contractor's cost properly allocable to the performance of any part of this Agreement, and
- (ii) the Contractor asserts a claim for such adjustments within 30 days after the end of the period of Work stoppage; provided that, if NYSERDA decides the facts justify such a claim, NYSERDA may receive and act upon any such claim asserted at any time prior to final payment under this Agreement.

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

(d) Notwithstanding the provisions of this Section 12.01, the maximum amount payable by NYSERDA to the Contractor pursuant to this Section 12.01 shall not be increased or deemed to be increased except by specific written amendment hereto.

Section 12.02 Termination.

(a) This Agreement may be terminated by NYSERDA at any time during the term of this Agreement with or without cause, upon ten (10) days prior written notice to the Contractor. In such event, payment shall be paid to the Contractor for Work performed and expenses incurred prior to the effective date of termination in accordance with the provisions of the Article hereof entitled Payment and in reimbursement of any amounts required to be paid by the Contractor pursuant to Subcontracts; provided, however, that upon receipt of any such notice of termination, the Contractor shall cease the performance of Work, shall make no further commitments with respect thereto and

shall reduce insofar as possible the amount of outstanding commitments (including, to the extent requested by NYSERDA, through termination of subcontracts containing provisions therefor). Articles VIII, IX, and X shall survive any termination of this Agreement, and Article XVI shall survive until the payment obligations pursuant to Article VIII have been met.

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

(c) Nothing in this Article shall preclude the Contractor from continuing to carry out the Work called for by the Agreement after receipt of a Stop Work Order or termination notice at its own election, provided that, if the Contractor selects (1) any such continuing Work after receipt of the Stop Work Order or termination notice shall be deemed not to be Work pursuant to the Agreement and (2) NYSERDA shall have no liability to the Contractor for any costs of the Work continuing after receipt of the Stop Work Order or termination notice.

#### 12.03 Suspension or Termination for Non-Responsibility.

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

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

### Article XIII

#### Independent Contractor

##### Section 13.01. Independent Contractor.

(a) The status of the Contractor under this Agreement shall be that of an independent contractor and not that of an agent, and in accordance with such status, the Contractor,

the Subcontractors, and their respective officers, agents, employees, representatives and servants, including the Project Director, shall at all times during the term of this Agreement conduct themselves in a manner consistent with such status and by reason of this Agreement shall neither hold themselves out as, nor claim to be acting in the capacity of, officers, employees, agents, representatives or servants of NYSERDA nor make any claim, demand or application for any right or privilege applicable to NYSERDA, including, without limitation, vicarious liability, professional liability coverage or indemnification, rights or privileges derived from workers' compensation coverage, unemployment insurance benefits, social security coverage and retirement membership or credit. It is understood and agreed that the personnel furnished by Contractor to perform the Work shall be Contractor's employee(s) or agent(s), and under no circumstances are such employee(s) to be considered NYSERDA's employee(s) or agent(s), and shall remain the employees of Contractor, except to the extent required by section 414(n) of the Internal Revenue Code.

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

#### Article XIV

##### Compliance with Certain Laws

Section 14.01. Laws of the State of New York. The Contractor shall comply with all of the requirements set forth in Exhibit C hereto.

Section 14.02. All Legal Provisions Deemed Included. It is the intent and understanding of the Contractor and NYSERDA that each and every provision of law required by the laws of the State of New York to be contained in this Agreement shall be contained herein, and if, through mistake, oversight or otherwise, any such provision is not contained herein, or is not contained herein in correct form, this Agreement shall, upon the application of either NYSERDA or the Contractor, promptly be amended so as to comply strictly with the laws of the State of New York with respect to the inclusion in this Agreement of all such provisions.

Section 14.03. Other Legal Requirements. The references to particular laws of the State of New York in this Article, in Exhibit C and elsewhere in this Agreement are

not intended to be exclusive and nothing contained in such Article, Exhibit and Agreement shall be deemed to modify the obligations of the Contractor to comply with all legal requirements.

Article XV

Notices, Entire Agreement, Amendment, Counterparts

Section 15.01. Notices.

(a) All notices, requests, consents, approvals and other communications which may or are required to be given by either party to the other under this Agreement shall be in writing and shall be transmitted either:

- (i) via certified or registered United States mail, return receipt requested;
- (ii) by facsimile transmission;
- (iii) by personal delivery;
- (iv) by expedited delivery service; or
- (v) by e-mail, return receipt requested.

Such notices shall be addressed as follows, or to such different addresses as the parties may from time-to-time designate as set forth in paragraph (c) below:

**NYSERDA**

Name: Cheryl M. Glanton  
Title: Director of Contract Management  
Address: 17 Columbia Circle, Albany, New York 12203  
Facsimile Number: (518) 862-0091  
E-Mail Address: [Cheryl.Glanton@nyserdera.ny.gov](mailto:Cheryl.Glanton@nyserdera.ny.gov)  
Personal Delivery: Reception desk at the above address

**[Contractor Name]**

Name:  
Title:  
Address:  
Facsimile Number:  
E-Mail Address:

(b) Any such notice shall be deemed to have been given either at the time of personal delivery or, in the case of expedited delivery service or certified or registered United States mail, as of the date of first attempted delivery at the address and in the manner provided herein, or in the case of facsimile transmission or email, upon receipt.

(c) The parties may, from time to time, specify any new or different address in the United States as their address for purpose of receiving notice under this Agreement by

giving fifteen (15) days written notice to the other party sent in accordance herewith. The parties agree to mutually designate individuals as their respective representatives for the purposes of receiving notices under this Agreement. Additional individuals may be designated in writing by the parties for purposes of implementation and administration/billing, resolving issues and problems and/or for dispute resolution.

Section 15.02. Entire Agreement; Amendment. This Agreement embodies the entire agreement and understanding between NYSERDA and the Contractor and supersedes all prior agreements and understandings relating to the subject matter hereof. Except as otherwise expressly provided for herein, this Agreement may be changed, waived, discharged or terminated only by an instrument in writing signed by the party against which enforcement of such change, waiver, discharge or termination is sought.

Section 15.03. Counterparts. This Agreement may be executed in counterparts each of which shall be deemed an original, but all of which taken together shall constitute one and the same instrument.

Article 16

Publicity

Section 16.01. Publicity.

(a) The Contractor shall collaborate with NYSERDA's Director of Communications to prepare press release and to plan for any news conference concerning the Work. In addition, the Contractor shall notify NYSERDA's Director of Communications regarding any media interview in which the Work is referred to or discussed.

(b) It is recognized that during the course of the Work under this Agreement, the Contractor and its employees may from time to time desire to publish information regarding scientific or technical developments made or conceived in the course of or under this Agreement. In any such information, the Contractor shall credit NYSERDA's funding and participation in the project, and shall state that "NYSERDA has not reviewed the information contained herein, and the opinions expressed in this report do not necessarily reflect those of NYSERDA or the State of New York." Notwithstanding anything to the contrary contained herein, the Contractor shall have the right to use and freely disseminate project results for educational purposes, if applicable, consistent with the Contractor's policies.

(c) Commercial promotional materials or advertisements produced by the Contractor shall credit NYSERDA, as stated above, and shall be submitted to NYSERDA for review and recommendations to improve their effectiveness prior to use. The wording of such credit can be approved in advance by NYSERDA, and, after initial approval, such credit may be used in subsequent promotional materials or advertisements

without additional approvals for the credit, provided, however, that all such promotional materials or advertisements shall be submitted to NYSERDA prior to use for review, as stated above. Such approvals shall not be unreasonably withheld, and, in the event that notice of approval or disapproval is not received by the Contractor within thirty days after receipt of request for approval, the promotional materials or advertisement shall be considered approved. In the event that NYSERDA requires additional time for considering approval, NYSERDA shall notify the Contractor within thirty days of receipt of the request for approval that additional time is required and shall specify the additional amount of time necessary up to 180 days. If NYSERDA and the Contractor do not agree on the wording of such credit in connection with such materials, the Contractor may use such materials, but agrees not to include such credit.

**SAMPLE**



EXHIBIT C

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 other State and Federal statutory and constitutional non-discrimination provisions, the Contractor 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, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability 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, Contractor 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. Contractor 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 6 of the Labor Law or a building service Agreement covered by Article 9 thereof, neither Contractor'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, Contractor 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 Contractor 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, Contractor warrants, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further warrants that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to NYSERDA a non-collusive bidding certification on Contractor's behalf.

4. INTERNATIONAL BOYCOTT PROHIBITION. If this Agreement exceeds \$5,000, the Contractor agrees, as a material condition of the Agreement, that neither the Contractor 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 Contractor, or any of the aforesaid affiliates of Contractor, 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 Contractor 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 39-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 purpose of set-off any moneys due to the Contractor 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, Contractor 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, Contractor 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 Contractor considers a proprietary and/or confidential trade secret, Contractor shall fully identify and plainly label the information “confidential” or “proprietary” at the time of disclosure. By so marking such information, Contractor represents that the information has actual or potential specific commercial or competitive value to the competitors of Contractor. 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 or 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.ny.gov/about/foil2.html>) and NYSERDA’s Regulations, Part 501 <http://www.nyserda.ny.gov/About/New-York-State-Regulations.aspx>.

**7. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.** (a) FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER. As a condition of NYSERDA’s obligation to pay any invoices submitted by Contractor pursuant to this Agreement, Contractor shall provide to NYSERDA its Federal employer identification number or Federal social security number, or both such numbers when the Contractor has both such numbers. Where the Contractor does not have such number or numbers, the Contractor 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 Contractor 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 C, the terms of this Exhibit C 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 NYSEERDA'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"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon NYSEERDA's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify NYSEERDA, in writing, of each and every change of address to which service of process can be made. Service by NYSEERDA to the last known address shall be sufficient. Contractor 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, NYSEERDA comes to know of any allegation previously unknown to it that the Contractor or any of its principals is under indictment for a felony, or has been, within five (5) years prior to submission of the Contractor's proposal to NYSEERDA, convicted of a felony, under the laws of the United States or Territory of the United States, then NYSEERDA may exercise its stop work right under this Agreement. If subsequent to the effectiveness of this Agreement, NYSEERDA comes to know of the fact, previously unknown to it, that Contractor or any of its principals is under such indictment or has been so convicted, then NYSEERDA may exercise its right to terminate this Agreement. If the Contractor knowingly withheld information about such an indictment or conviction, NYSEERDA may declare the Agreement null and void and may seek legal remedies against the Contractor and its principals. The Contractor or its principals may also be subject to penalties for any violation of law which may apply in the particular circumstances. For Contractor 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 Contractor 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 Contractor 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  
625 Broadway  
Albany, New York 12207  
Telephone: 518-292-5200  
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 Business Development  
625 Broadway  
Albany, New York 12207  
Telephone: 518-292-5200  
Fax: 518-292-5884  
<http://www.empire.state.ny.us>

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

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

(c) The Contractor 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 Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor 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 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 68 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of primary 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. Contractor 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 Contractor 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, NYS/EDA may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

19. COMPLIANCE WITH TAX LAW SECTION 5-a. The following provisions apply to Contractors 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 Contractor must have on file with the New York State Department of Taxation and Finance a Contractor Certification form (ST-220-TD).

- b) Prior to entering into such an agreement, the Contractor is required to provide NYSERDA with a completed Contractor Certification to Covered Agency form (Form ST-220-CA).
- c) Prior to any renewal period (if applicable) under the agreement, the Contractor is required to provide NYSERDA with a completed Form ST-220-CA.

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

NYSERDA reserves the right to terminate this agreement in the event it is found that the certification filed by the Contractor 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 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 subsection 3 of Section 10 of the State Finance Law (See <http://www.ogs.ny.gov/about/regs/ida.asp>)

**SAMPLE**

## EXHIBIT D

### 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 Contractor 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 Contractor pursuant to Article IV, Exhibit D 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 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

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<sup>2</sup> This is only a summary; the full text of Part 504 can be accessed at: <http://www.nyserda.ny.gov/About/New-York-State-Regulations.aspx>



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 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 subsection, 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 Contractor 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.

(3) "Set-off" means the reduction by NYSERDA of a payment due a Contractor by an amount equal to the amount of an unpaid legally enforceable debt owed by the Contractor 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 Contractor 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 Contractor 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 a Contractor 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 Contractor. 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) 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 Contractor 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 Contractor 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 any 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. Source of Funds to Pay Interest.** Any interest payable by NYSERDA pursuant to this 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.** Contractor 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 Exhibit B to 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 Contractor 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 a Contractor 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 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.

SAMPLE

**Exhibit E**

New York State Energy Research and Development Authority (NYSERDA)

**2016 Report Content Guide**

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Revised 12/10/2015

(Replaces the 2015 NYSERDA Report Content Guide)

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**SAMPLE**

## Purpose

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This document explains how to prepare and submit a report to the New York State Energy Research and Development Authority (NYSERDA). It includes details on the elements of the report, specifications for formatting and accessibility, and information on electronic submission. Please follow these instructions unless your NYSERDA contract specifies otherwise.

NYSERDA will publish the finished report deliverable online and/or in print unless the NYSERDA Project Manager approves special circumstances. Please direct questions about technical content and submission deadlines to your NYSERDA Project Manager. For questions related to formatting and electronic submission of the report, contact Diane Welch in NYSERDA Marketing at 518-862-0900, ext. 3276 or [Diane.Welch@nyserda.ny.gov](mailto:Diane.Welch@nyserda.ny.gov).

## Required Elements

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Section 6 includes a checklist of the required elements. This section contains details about the items that are required in all reports (unless noted as optional) items should appear and be paginated in the following sequence:

- Title page (no page number):
  - Include title of report, draft of report prepared for NYSERDA, NYSERDA Project Manager (name and title), prepared by name of organization, individuals and affiliation, report number (NYSERDA will provide during writing), contract number and date report submitted.
- Notice (small Roman numerals for page numbers, i.e., ii):
  - Option 1 When NYSERDA is the project's sole sponsor, this notice must be used:

### Notice

This report was prepared by [Insert Preparer's Name] in the course of performing work contracted for and sponsored by the New York State Energy Research and Development Authority (hereafter "NYSERDA"). The opinions expressed in this report do not necessarily represent those of NYSERDA or the State of New York, and reference to any specific product, service, process, or method does not constitute an implied or expressed recommendation or endorsement. Further, NYSERDA, the State of New York, and the contractor make no warranty or representations, expressed or implied, as to the fitness for particular purpose or merchantability of any product, apparatus, or service, or the usefulness, completeness, or accuracy of any processes, methods, or other information contained, described, disclosed, or referred to in this report. NYSERDA, the State of New York, and the contractor make no representation that the use of any product, apparatus, process, method, or other information will not infringe privately owned rights and will assume no liability for any loss, injury, or damage resulting from, or occurring in connection with, the use of information contained, described, disclosed, or referred to in this report.

NYSERDA makes every effort to provide accurate information about copyright owners and related matters in the reports we publish. Contractors are responsible for determining and

satisfying copyright or other use restrictions regarding the content of reports that they write, in compliance with NYSERDA's policies and federal law. If you are the copyright owner and believe a NYSERDA report has not properly attributed your work to you or has used it without permission, please email [print@nysesda.ny.gov](mailto:print@nysesda.ny.gov).

- Option 2—When there are project co-sponsors in addition to NYSERDA, use the following notice instead:

#### Notice

This report was prepared by [Insert Preparer's Name] in the course of performing work contracted for and sponsored by the New York State Energy Research and Development Authority and the [Insert Co-Sponsor's Name] (hereafter the "Sponsors"). The opinions expressed in this report do not necessarily reflect those of the Sponsors or the State of New York, and reference to any specific product, service, process, or method does not constitute an implied or expressed recommendation or endorsement of it. Further, the Sponsors, the State of New York, and the contractor make no warranties or representations, expressed or implied, as to the fitness for particular purpose or merchantability of any product, apparatus, or service, or the usefulness, completeness, or accuracy of any process, method, or other information contained, described, disclosed, or referred to in this report. The Sponsors, the State of New York, and the contractor make no representation that the use of any product, apparatus, process, method, or other information will not infringe privately owned rights and will assume no liability for any loss, injury, or damage resulting from, or occurring in connection with, the use of information contained, described, disclosed, or referred to in this report.

NYSERDA makes every effort to provide accurate information about copyright owners and related matters in the reports it publishes. Contractors are responsible for determining and satisfying copyright or other use restrictions regarding the content of the reports that they write, in compliance with NYSERDA's policies and federal law. If you are the copyright owner and believe a NYSERDA report has not properly attributed your work to you or has used it without permission, please email [print@nysesda.ny.gov](mailto:print@nysesda.ny.gov).

- Abstract and Keywords (optional; small Roman numerals for page numbers):
  - The Abstract is a brief, approximately 200-word description of project objectives, investigative methods used, and research conclusions or applications. This information will be used when NYSERDA registers the report with the New York State Library and the Library of Congress. A list of keywords that describe the project and identify the major research concept should be submitted with the report. Four to six precise descriptors are generally sufficient and will be used for indexing, registering and distributing the report.
- Acknowledgments (optional; small Roman numerals for page numbers):
  - If included, the Acknowledgments page precedes the Table of Contents and is generally no longer than two paragraphs in length.
- Table of Contents (small Roman numerals for page numbers):
  - The Table of Contents should list front matter material (except the Table of Contents) and titles and section numbers for heading levels one through four. Additional levels should not

be used in the report. If the heading styles are applied in Word, the list can be automatically generated.

- List of Figures (small Roman numerals for page numbers).
  - If the report contains three or more figures, they should be listed using the style of the Table of Contents. (If the figure titles in text have the caption function applied in Word, the list can be automatically generated.)
- List of Tables (small Roman numerals for page numbers).
  - If the report contains three or more tables, they should be listed using the style of the Table of Contents. (If the figure titles in text have the caption function applied in Word, the list can be automatically generated.)
- Acronyms and Abbreviations List (small Roman numerals for page numbers).
  - All acronyms and abbreviations should be spelled out and followed by the acronym or abbreviation in parentheses on first use.
  - First reference to NYSERDA in text should be “the New York State Energy Research and Development Authority (NYSERDA).” Subsequent references should read simply “NYSERDA.”
  - When referring to New York State use “New York State” on first use and abbreviate “the State” for subsequent uses.
  - Use a one- or two-column layout for the list; do not use a table.
- Executive Summary or Summary (continued; ES-1, S-1 etc. for page numbers of Executive Summary and Summary, respectively).
  - An Executive Summary is one page in length maximum. A Summary is a shorter version of the report and varies in length but less than 10 percent of the main report is a good guideline.
- Main Text (sequentially numbered pages i.e., 1, 2, 3 etc. preferred, but chapter-page numbering is acceptable).
- Figures and tables with sequential numbering (Figure 1, Figure 2, etc. preferred but sequential numbering acceptable), callouts in text (i.e., Figure 1 shows...) and Alternative Text to comply with ADA accessibility are required. Refer to ADA guidelines for the best way to represent with reference to colors. Preferences for tables are listed in this document.
  - Figures and tables at the back of the document are preferred for documents that NYSERDA will be formatting; figures and tables placed in-line with text near callout is acceptable. Do not wrap text.
- References Cited and Bibliography information (as needed; continue sequential page numbering):
  - References Cited vs. Bibliography: References Cited has specific references called out in text to document sources of specific information, and a bibliography is a list of sources used to compile a document but does not have callouts for specific facts in the text.
  - Endnote style for reference citations is preferred but footnotes are acceptable.
  - Format of reference callout in text for footnote or endnote is the author-date callout in text (i.e., Wood and Stone 2010).



- Full reference citations listed alphabetically by the last name of the first author.
- Citation format is based on Chapter 15 (Documentation II: Author-Date References) of The Chicago Manual of Style (16th edition).
- Use the following format to refer to reports published by NYSERDA:

New York State Energy Research and Development Authority (NYSERDA). Year of publication. “Title of Report,” NYSERDA Report Number xx-yy. Prepared by organization, company or individual names and city/state location (optional). [nyserdera.ny.gov/publications](http://nyserdera.ny.gov/publications)

- Appendices (optional; A-1 etc for Appendix A, B-1 etc for Appendix B page numbering):
  - In NYSERDA reports, Appendices should be called appendices and not Attachments. Attachments are used to append a document to an appendix. (Attachments may have different definitions in emails and legal documents.)
- Alternative text that describes figures and tables to meet Accessibility requirements. (A separate Word file is fine—see Section 2.2 for more details).

## Copyright for Intellectual Property

All material borrowed or adapted from other sources should be properly identified (i.e., document, source, date, and page). The contractor must obtain and submit to NYSERDA the copyright owner’s written permission to use any illustrations, photographs, tables, figures, or substantial amounts of text from any other publication.

For each figure and table, the contractor must also provide a source line that gives the original source and any language stating permission to reprint that should be published with each respective table or figure.

## Proprietary or Confidential Information

Proprietary or confidential information should be clearly labeled in the report submission as “proprietary” or “confidential.” To the extent possible, the information should be contained within one section or appendix that can be easily removed prior to publishing. Consult your NYSERDA Project Manager with any questions.

## Americans with Disabilities Act (ADA) Accessibility Compliance

As a State Authority, NYSERDA is obligated to ensure that all documents published on NYSERDA’s website are accessible, pursuant to Section 508 of the Rehabilitation Act (29 U.S.C. 794d), as amended by the Workforce Investment Act of 1998 (P.L. 105-220 August 7, 1998).

To meet the needs of persons with visual or mobility disabilities, reports must be in a format that allows for conversion of written words of an electronic document into speech, thus allowing the person with a disability to hear the text. The formatting of these documents is critical to the success of the conversion from text to speech. Screen reading software will read the document as one long series of paragraphs with no differentiation for new topics unless properly formatted with Heading Styles. (Imagine reading a textbook with no difference in text from one paragraph to the next.)

Reports submitted to NYSERDA must meet the following requirements:

- Use numbered headings in the document up to Level 4 (i.e., 1.1.1.1).
  - Pick one of the formatting options outlined in Section 3 of this document.
  - Provide short titles for all tables, images, and figures.
  - Provide Alternative Text (also known as alt-text) that describes the visual elements of each image and figure—and does not just repeat the title or caption. Include alt text for any tables that are inserted as images.
- Write out links in documents that will be printed. Write the sentence so that the URL is not at the end and followed by a period. See the last bulleted item for an example (“Visit...”).
  - Avoid linking to “click here” or including extremely long URLs. For web-only documents, use contextual links, such as linking NYSERDA’s website to “NYSERDA” instead of putting a long URL in text.
  - Visit [nyserdera.ny.gov/Doing-Business-with-NYSERDA](http://nyserdera.ny.gov/Doing-Business-with-NYSERDA) for more information about how to make a document accessible.

## Formatting

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Contractors have two options for the formatting of submitted documents.

### Option 1—NYSERDA does the formatting

- Contractor emails to NYSERDA Project Manager a Word file of all report components with all text in Times New Roman 10 pt font.
- File should include outline level numbering with each section head (1 is Level 1 Heading, 1.1 is Level 2 Heading, 1.1.1 is Level 3 Heading, 1.1.1.1 is Level 4 Heading), not to exceed Level 4.
- Each figure and table should have a call-out in the main text (i.e., Figure 1 shows... or According to Figure 1, or (Figure 1) at the end of a sentence).
- Figures and tables along with their titles and sources (and captions if necessary) should be grouped together at the back of the file or supplied in a separate file. Contractor can request print or back-of-report placement of figures.
- NYSERDA will format the document according to the 2016 NYSERDA Marketing’s Template for Reports.

### Option 2—Contractor does the formatting

- Visit [nyserdera.ny.gov/Doing-Business-with-NYSERDA](http://nyserdera.ny.gov/Doing-Business-with-NYSERDA) to download:
  - Report template (2016 NYSERDA Marketing’s Template for Reports).
  - Details about report formatting (2016 NYSERDA Report Formatting Guide).
- Apply each of the Word Styles in the template to the elements of the document as appropriate, such as apply Heading 1 to all first-level headings, Body Text to all body text and References to reference materials. Place figures and captions after each respective call-out OR in order at the back of the report.

## Submitting a Report to NYSERDA

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No print drafts of the report are required. An electronic Word version of the draft report should be emailed to the NYSERDA Project Manager. Contact the Project Manager regarding how to transfer large files. The contractor is responsible for satisfactorily addressing comments from NYSERDA and other stakeholders. When making corrections, the contractor must ensure that technical content is not compromised. After editorial corrections have been made, the contractor must email to the Project Manager a Word version of the final report. NYSERDA will consider high-resolution image submissions for report covers.

## Contacts

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- The NYSERDA Project Manager should be the contractor's primary point of contact.
- For additional questions, contact Diane Welch in NYSERDA Marketing at [Diane.Welch@nyserda.ny.gov](mailto:Diane.Welch@nyserda.ny.gov) or 518-862-1090 ext. 3276.
- Contractors can also email [print@nyserda.ny.gov](mailto:print@nyserda.ny.gov) or call 518-862-1090 and ask for marketing.

## Required Elements Checklist

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The following elements should be included in reports unless noted as optional, along with the style of page numbers is listed in parentheses.

- Title page (no page number).
- Notice (small Roman numerals; page numbers, i.e., vi).
- Abstract
- Keywords (optional; small Roman numerals).
- Acknowledgments (optional; small Roman numerals).
- Table of Contents (small Roman numerals).
- List of Figures (small Roman numerals).
- List of Tables (small Roman numerals).
- Acronym and Abbreviations List (small Roman numerals).
- Executive Summary or Summary (optional; ES-1 or S-1 etc.).
- Main Text (pages sequentially numbered i.e., 1, 2, 3 etc.).
- Figures and tables with sequential numbering (Figure 1, Figure 2, etc.), callouts in text (i.e., Figure 1 shows...), and Alt Text for ADA Accessibility.
  - Figures and tables at the back of the document are preferred for documents that NYSERDA will be formatting; figures and tables placed in-line with text after first callout are acceptable. Do not wrap text.
- References Cited and Bibliography information.
- Appendices (optional; page numbering is A-1 etc. for Appendix A, B-1 etc. for Appendix B).
- Copyright information for intellectual property (i.e., images, figures, tables or large pieces of text that have been previously published)—include written permission from the copyright holder

at the end of the document and use appropriate language in the captions of the images, figures and tables such as “Reprinted with permission from [publisher’s name].”

- Alternative text that describes each image and figure (include Alt text for tables that are included as images) —and does not just repeat the title or caption. (See Section 2.3 for more information.) The text should be listed at the end of the document or provided in a separate file.

**SAMPLE**

# NY Green Bank

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Construction & Back-Leveraged Financing for  
Ground-Mounted Solar Generation Systems  
Targeting Corporate & Industrial End Users

Request for Proposals

(Ongoing Solicitation)

RFP No. 7

Version 1.0 - March 2017

# 1 Introduction

## 1.1 Opportunity & Overview

NY Green Bank (“**NYGB**”) invites solar developers (“**Proposers**”) to propose solar transactions where the Proposer seeks a construction loan and back-leveraged debt financing from NYGB for photovoltaic (“**PV**”) solar projects<sup>1</sup> in New York State (“**NYS**”; each a “**Project**”) employing tax equity that meets the following key eligibility requirements (“**Key Requirements**”):

- (a) Will generate revenue<sup>2</sup> by selling net energy metering credits to commercial, industrial or institutional power users under NY Public Service Law § 66-j (“**NYPSL § 66-j**”)<sup>3</sup>;
- (b) Use Tier 1 technology<sup>4</sup> including panels, inverters and racking;
- (c) Are in the advanced stage of development (commonly described as near “shovel ready”);
- (d) Are 500 kW to 2 MW<sup>5</sup> in size, ground-mounted, canopy-mounted or non-residential rooftop Projects at a single location; and
- (e) Meet the terms and conditions laid out in the either of the term sheets included in Attachments C and D.

The submission process for this Request for Proposal (“**RFP**”) No. 7 has three phases:

- (a) Phase 1, Proposal: Proposer submits a detailed Project description as described in Section 4.1.
- (b) Phase 2, Submission of Agreements & Fee: Upon invitation by NYGB, Proposer submits contracts, agreements and other supporting documentation and requirements as described in Section 4.2. The Proposer will also be requested to make an in-person presentation.
- (c) Phase 3, Due Diligence, Documentation & Approval: All remaining due diligence, engineering review, underwriting and documentation as described in Section 4.3.

This RFP is intended to apply to all qualifying solar projects, both now and in future, as long as the RFP remains active. In particular as the valuation of distributed energy generation continues to evolve in NYS, NYGB encourages developers of eligible solar projects to submit Proposals for consideration, reflecting distributed energy markets at the relevant time.

All submissions pursuant to this RFP (each a “**Proposal**”) involving the utilization of third-party tax equity are eligible for NYGB construction and back-leveraged loans (“**Back-Leveraged Loans**”) under the terms described in Section 2 and in the term sheets included in Attachments C and D (the “**Back-Leveraged Term Sheets**”). The first term sheet is for senior secured construction financing converting to a back-leveraged term loan (the “**Single Project Term Sheet**”), and the second term sheet is for senior secured construction financing converting first to an aggregation loan facility for each Project secured by the assets of the Borrower, then converting to a consolidated term loan financing multiple Projects (the “**Project Portfolio Term Sheet**”). To the extent that a Proposal does not require a construction loan, NYGB will review Proposals that only require back-leveraged financing. Please see Attachment B for structure charts. The Back-Leveraged Term Sheets address a partnership flip structure and do not contemplate an inverted lease structure.

<sup>1</sup> NY Public Service Law § 66-j solar project definition can be reviewed at <http://codes.findlaw.com/ny/public-service-law/pbs-sect-66-j.html>, see “Solar electric generating equipment” in Section 1(d).

<sup>2</sup> When identifying revenues available to support any proposed back-leveraged debt financing, a Proposer should also consider the New York State Public Service Commission (“**PSC**”) “Order on Net Energy Metering Transition, Phase One Value of Distributed Energy Resources, and Related Matters” issued on March 9, 2017 (Cases 15-E-071 and 15-E0082).

<sup>3</sup> Or subsequent applicable laws, regulations or administrative proceedings.

<sup>4</sup> See [http://about.bnef.com/content/uploads/sites/4/2012/12/bnef\\_2012-12-03\\_PVModuleTiering.pdf](http://about.bnef.com/content/uploads/sites/4/2012/12/bnef_2012-12-03_PVModuleTiering.pdf).

<sup>5</sup> Which may change subject to future laws, regulations or administrative proceedings.

NYGB will entertain multiple Proposals under this RFP from the same or related Proposers, although each Proposal will be evaluated as a separate transaction. If it receives multiple Proposals from the same or related Proposers, NYGB will process the Proposals in the order in which they are received. For the avoidance of doubt, a Proposal for a portfolio of projects is considered as one Proposal.

NYGB encourages those that decide not to make a Proposal at this time due to the requirement of this RFP for Projects to be in an advanced stage of development to continue development of their projects, targeting areas which would enhance their ability to meet the requirements delineated in this RFP in the future. NYGB reserves the right to supplement or close this RFP at any time. If NYGB supplements or closes this RFP, details will be posted at [www.greenbank.ny.gov/Working-with-Us/Propose-an-Investment](http://www.greenbank.ny.gov/Working-with-Us/Propose-an-Investment).

Market participants developing solar projects not utilizing NYPSSL § 66-j and not seeking construction and back-leveraged debt financing should consider submitting proposals requesting NYGB financial participation under “Clean Energy Financing Arrangements, Request for Proposals”, an ongoing solicitation known as “**RFP No. 1**”, rather than under this RFP. Residential solar projects (including megawatt aggregations that meet the minimum size limits of this RFP) are not eligible under this RFP and should also be considered for submission pursuant to RFP No. 1.

Electronic submission of Proposals is required. [Instructions to Submit Proposals](#) can be found on the “**RFP Resources**” page on our website. This RFP will remain open, and Proposals will be evaluated on a rolling basis, as received. The purpose of an ongoing RFP process is to ensure that all potential NYGB clients and counterparties have an opportunity to propose transactions and financing arrangements, as market needs develop and change over time. Each submission will be reviewed in accordance with an evaluation of the completeness and quality of Proposals in addressing all the matters described in [Section 3 \(Specific Eligibility Criteria\)](#) and [Section 4 \(Proposal Contents\)](#). This competitive selection process will be applied consistently to all complete RFP submissions.<sup>6</sup>

As an ongoing solicitation, Proposers may resubmit Proposals if circumstances change, or if the initial Proposal does not address this RFP in a complete manner. Any commonly used formats (e.g., Microsoft Word, PowerPoint, Excel and Adobe PDF) in commercial submissions are welcome. Proposers can expect the initial response following NYGB’s receipt of a Proposal generally within two weeks from the date of such receipt.

NYGB believes that, as a general matter, the time to complete the review, due diligence, documentation and approvals of proposed Projects pursuant to this RFP could take up to 20 weeks but will make every effort to accelerate the process. NYGB hopes to achieve the following approximate schedule (to be adapted for Project portfolios):

Phase	Task	Schedule (Weeks)
1	NYGB Review of Proposer’s Phase 1 submittal and Phase 2 invitation issuance, if applicable	2
	Proposer submittal of Phase 2 materials	4
2	NYGB review of Phase 2 materials	3
3	NYGB due diligence, documentation, approvals	10
<b>Closing</b>	Confirmation of satisfaction of Conditions Precedent and closing/funding	1
<b>Total</b>		20

Direct communication and engagement between NYGB and potential clients and counterparties is permitted, prior to proposal submittal and after NYGB’s evaluation of a Proposal. If you have questions or seek further engagement, please contact [InvestmentRFPs@greenbank.ny.gov](mailto:InvestmentRFPs@greenbank.ny.gov) (including “RFP No. 7” in the subject line). If you have questions regarding the Securities and Exchange Commission Municipal Advisor Rules, please see [Section 5.3 \(General Conditions – Municipal Advisor Rules\)](#).

<sup>6</sup> Subject to the Office of State Comptroller Rule (Part 206 to NYRR Title 2) (the “**Comptroller Rules**”) and consistent with NY Green Bank Operations & Procedures Manual.

**Please note that failure to respond to each phase of this RFP in a complete manner by addressing all the matters requested for each phase will render NYGB unable to take further action on a Proposal.**

## **1.2 RFP Objectives**

Commercial, industrial and other institutional organizations<sup>7</sup> (“**C&I**”) offer a substantial market opportunity as purchasers of electricity produced by solar projects. However, the economic viability of, and ability to finance, solar projects serving C&I customers are often constrained given:

- (a) A fragmented market of C&I project developers;
- (b) Relatively small transaction sizes on a per project basis;
- (c) Lack of a sizeable portfolio of individual projects and pipeline of such projects that is actionable in the near term;
- (d) Lack of standardization (documentation, financial analysis, project underwriting, etc.);
- (e) High transaction soft costs (legal, engineering, consulting, etc.) as a percent of project cost; and
- (f) Lack of public credit rating for many C&I organizations as purchasers of the solar electricity or net energy metering credits, resulting in a burdensome counterparty credit underwriting process for each relatively small transaction.

Under this RFP, NYGB seeks to overcome the above constraints and support the acceleration of solar deployment benefitting the C&I market by offering debt financing under terms that result in a standardized portfolio of single Projects and aggregated Projects that will attract private sector lenders as financial participants with NYGB. Key elements of this RFP include:

- (a) A request for proposals from a broad underserved target market to create financing scale needed to “crowd in” broad private financial market participation;
- (b) A standardized approach to: (i) documentation; (ii) project financial analysis; and (iii) engineering and consulting, such that the analysis and underwriting is more efficient for developers, NYGB and future private market financing participants;
- (c) Substantially reduced transaction soft costs through a standardized approach and the utilization of a consistent set of lawyers, engineers and other consultants – all experienced in these types of transactions - on a negotiated program basis;
- (d) A Net Energy Metering Contract (“**NEMC**”) counterparty credit underwriting approach that includes a review of creditworthiness but also takes into account the ability to sell net energy metering credits to another C&I buyer if a current NEMC counterparty no longer meets its payment or contractual obligations. Critical elements of this aspect of the underwriting methodology are: (i) Proposer’s (or a designated party’s) ability to contract with a new NEMC counterparty if necessary; and (ii) likely future value to a new counterparty of net energy metering credits (see [Section 3.2](#)); and
- (e) A phased and clearly defined RFP submission process streamlining the transaction approval process and timeline.

Through this RFP, NYGB seeks to: (i) accelerate the deployment of solar energy in a manner that supports a significant segment of the target C&I market; and (ii) provide a financing framework that will be utilized in the future by tax equity investors and private sector lenders.

<sup>7</sup> Institutions includes municipalities, non-profits, educational and other similar organizations.



### 1.3 Background

NYGB is a division of the New York State Energy Research and Development Authority (“**NYSERDA**”) and acting as a \$1.0 billion State-sponsored specialized financial entity focused on mobilizing greater clean energy investment and projects within NYS. NYGB is structured and operated in a manner comparable to private investment funds and financing entities, including with respect to being self-sustaining, covering its own costs of operation and entering transactions on market terms. NYGB is a key component of New York’s Clean Energy Fund (“**CEF**”).<sup>8</sup> The CEF is a \$5.3 billion commitment, and part of Governor Andrew M. Cuomo’s Reforming the Energy Vision (“**REV**”) strategy to advance clean energy growth and innovation and drive economic development across the State, while reducing ratepayer collections. For more information on the CEF and REV strategy, see [www.nyserda.ny.gov/About/Clean-Energy-Fund](http://www.nyserda.ny.gov/About/Clean-Energy-Fund) and <https://rev.ny.gov/>.

The key elements of NYGB’s mission are collaborating with private sector participants, implementing structures that overcome market barriers and address financing gaps in current clean energy financing markets, and transforming those markets by enabling greater scale, new and expanded asset classes and increased liquidity. Consistent with this mission and its investment criteria, NYGB’s key goals are to:

- (a) Attract private sector capital into clean energy markets in NYS;
- (b) Be self-sustaining; and
- (c) Reduce greenhouse gas (“**GHG**”) emissions.

NYGB’s activities in pursuit of its goals are specifically aimed at motivating faster and more extensive implementation of clean energy investments within NYS, fostering greater energy choices, reducing environmental impacts and delivering more clean energy benefits per public dollar spent for all New Yorkers.

Market barriers vary across different technologies and market participants, although a number of particular financing issues generally constrain growth in the clean energy sector, including lack of transaction standardization, deficient scale and volume, less understood project sponsors and counterparty credits, insufficient data on underlying loan and technology performance, and underdeveloped or nonexistent capital markets for clean energy projects. These barriers are a few of many that limit private sector capital investment, for both equity and debt, into otherwise attractive renewable energy and energy efficiency projects, resulting in gaps in the clean energy finance market.

To address existing barriers, NYGB follows several important operating principles:

- (a) NYGB enhances private sector market participation by providing financial products designed to scale markets for renewable energy and energy efficiency projects;
- (b) NYGB collaborates, rather than competes, with market participants that are already making progress in, or can demonstrate an ability to engage, the market but where that progress is constrained by the lack of available financing;
- (c) NYGB works with its clients and counterparties to leverage their capital and institutional capabilities –with a focus on “wholesale” markets (that is, not providing funding directly to consumers/homeowners);
- (d) NYGB generally structures and prices its financial products consistent with commercial approaches to credit quality and risk, earning a return on investment to preserve and grow its capital base; and
- (e) NYGB recycles its capital into new clean energy projects when income is generated and as investments mature or are realized, maximizing the impact of its capital across multiple deployments.

<sup>8</sup> Created pursuant to the “Order Authorizing the Clean Energy Fund Framework”, issued and effective January 21, 2016, Cases 14-M-0094 et al. (the “**CEF Order**”).

NYGB’s long-term objective is to provide a bridge to a vibrant, sustainable, growing and efficient private sector clean energy financing market, across all types and sizes of projects. NYGB seeks to operate in areas where there is market interest, but limited access to capital.

More information about NYGB can be found at [www.greenbank.ny.gov](http://www.greenbank.ny.gov).

## 2 NYGB Approach to Financing Structure & Pricing

NYGB operates as a self-sustaining entity, pricing investments to cover its operating expenses and portfolio default risk, and to preserve its capital base. In so doing, NYGB intends to serve as both a prudent custodian of ratepayer funds and an agent for greater private investment in the clean energy sector in New York State. Pricing for the Back-Leveraged Loans will reflect the underlying transaction credit risk and level of standardization and scale NYGB seeks to facilitate, with the goal of creating investments in which private sector lenders will ultimately be willing to participate at the agreed pricing levels. NYGB investment terms will be determined by credit risk and exposure assumed by NYGB and other investment participants. For NYGB products, upfront and ongoing fees generally apply as described in the Back-Leveraged Term Sheets.

NYGB intends to issue Back-Leveraged Loans for both Projects and portfolios of Projects which involve tax equity commitments. The Back-Leveraged Loans consist of:

Single Project	Portfolio
<p>Credit Facility which is to be used for funding a portion of Project Costs and secured by “Borrower” (as defined in the Back-Leveraged Term Sheets) and Project assets. At the completion of construction, the security interest in the Project assets will be released to facilitate the entry of the tax equity and the portion of the construction loan not taken out by the Tax Equity will convert to the back-leveraged term loan.</p>	<p>Construction loan facility used for funding a portion of Project Costs and secured by Borrower and Project assets.</p>
	<p>An aggregation loan facility takes out the portion of the construction loan not taken out by the Tax Equity for each Project and is secured by the assets of the Borrower. At the completion of construction of each Project, the security interest in the Project assets will be released to facilitate the entry of the tax equity.</p>
	<p>When all Projects are in operation, the back-leveraged term loan takes out the aggregation loan and is secured by the assets of the Borrower.</p>

## 3 Eligibility Requirements

### 3.1 Eligibility

As described in [Section 1.1](#), the Key Requirements must be satisfied for submissions pursuant to this RFP. In completing a Proposal, Proposers are encouraged to pragmatically review the status of all agreements and not overstate progress to date (which would quickly become apparent in Phase 2 in any event). Consistent with NYGB’s objective of accelerating the pace of solar development in NYS, eligibility requirements are designed to demonstrate shovel-ready Projects appropriate for near-term financing and to allow Proposers to make a self-determination if they meet the eligibility requirements, thus conserving resources for all parties.

Phase 1 requirements are listed below in this [Section 3.1](#). Of these requirements, those marked with an asterisk (\*) and **bolded**, are threshold eligibility requirements (the “**Threshold Requirements**”). NYGB will not consider Projects that do not meet the described Threshold Requirements. For all other requirements, contracts do not have to be finalized or executed although the more advanced they are, the greater the weight that will be given to them in the evaluation process. First drafts of agreements, especially those which have not been

subjected to a negotiation process between the parties, will be given limited weight as they will be considered early stage.

For single Projects, NYGB will determine eligibility based on evaluation of the criteria set out below. For portfolios, all Projects in the portfolio must be identified and for at least one Project NYGB must be able to determine eligibility based on evaluation of the following criteria. Subsequent Projects in the portfolio will be evaluated on the same basis as described in this RFP. The treatment of these evaluation criteria in Proposals is described in more detail in Section 4:

- 3.1.1 **\*Phase I Proposal Checklist:** As a threshold matter, the Proposer must include a fully completed Attachment A with its Proposal (as part of Phase 1; see Section 4.1).
- 3.1.2 **\*CESIR or Interconnection Arrangements:** Completion of the Coordinated Electric System Interconnect Review (“CESIR”). NYGB views completion of the CESIR as a threshold matter for demonstrating an advanced stage of development and readiness for financing discussions. Accordingly, it will not consider Proposals for Projects which do not have a completed utility CESIR and notification, which is defined as the utility completion of the CESIR and receipt by the Proposer of the notification to that effect issued by the utility.
- 3.1.3 **\*Completed & Submitted Application for NY-Sun Incentives** (See [www.nyserda.ny.gov/All-Programs/Programs/NY-Sun](http://www.nyserda.ny.gov/All-Programs/Programs/NY-Sun)): NYGB views the NY-Sun Incentive Program application to be a threshold requirement for determining that a Project is in advanced development. Recognizing that some Projects may not apply to the NY-Sun Incentive Program, NYGB will waive this requirement for those Proposals that contain a statement that the Project will not be applying under the NY-Sun program.
- 3.1.4 **\*Site Control:** Site control is critical to the development of a successful Project. Therefore, the Proposer must demonstrate how it controls or will control the Project site for at least the duration of the NEMC.
- 3.1.5 **Permits:** Proposers that have met the requirements for the NY-Sun Incentive Program will have submitted all necessary permits, approvals and certificates required for construction of the Project to the appropriate agencies. Therefore, approval of a NY-Sun application will demonstrate an advanced stage of Project development with regard to permitting. For Projects not applying for the NY-Sun Incentive Program, confirmation that all permit applications have been completed, addressing all requisite aspects and submitted to all jurisdictional agencies, is required.
- 3.1.6 **\*NYS Environmental Quality Review Act (“SEQRA”) Analysis (as Needed):** All Projects that include the installation of PV panels with total panel surface area exceeding 4,000 square feet will be subject to further SEQRA analysis. For such Projects, the Proposer must provide a short form Environmental Assessment Form (“EAF”) directly to NYGB in Phase 2 along any other SEQRA materials prepared for other permitting or approval agencies relevant to the Project.
- 3.1.7 **\*Municipal Moratorium:** NYGB may decide to defer consideration of the Proposals for Projects which are located in towns with solar moratoriums.
- 3.1.8 **\*Property Tax Exemption:** The loss of the property tax exemption will affect Project economics. NYGB will need confirmation that the property tax exemption will continue to apply to the Project.
- 3.1.9 **Equipment Supply:** NYGB will judge a Project to be in an advanced development stage if all major equipment (including but not limited to panels, inverters and racking) is identified, is “Tier 1” and is subject to finalization of a purchase order with vendors. Executed agreements do not have to be in place. If equipment supply is part of an Engineering, Procurement & Construction (“EPC”) contract, these eligibility requirements will be evaluated as part of Section 3.1.10.
- 3.1.10 **Construction Contracts:** Advanced development stage Projects will have well defined and negotiated contracts for the installation of equipment, balance of plant (“BOP”) or EPC arrangements. The status of such construction contracts will be evaluated in determining the development status.

- 3.1.11 NEMC Arrangements: NYGB will only consider Projects with a well-developed NEMC. All revenue arrangements must comply with NYPSS § 66-j. The NEMC counterparty must have a public rating (see Section 3.2.1) or alternatively, the revenue arrangements must meet the requirements of Section 3.2.2.
- 3.1.12 O&M Arrangements: O&M arrangements should be well developed and include pricing and providers with demonstrated expertise and capabilities to fulfill their responsibilities.
- 3.1.13 Management & Administration Arrangements: Management and administration arrangements should be well developed and include pricing and providers with demonstrated expertise and capabilities to fulfill their responsibilities.
- 3.1.14 Equity Commitment: NYGB will evaluate the level of equity invested by the sponsor (“**Sponsor**” (as defined in the Back-Leveraged Term Sheets)) and tax equity to be invested in the Project including its sources and the debt-to-equity ratio. The amounts of equity planned, the debt-to-equity ratio and the strength of the equity commitment at the time of the Proposal will all be addressed in determining eligibility. The level of Sponsor equity will also be an evaluation factor. Projects with equity required but without sources identified may, depending on the status of other eligibility requirements, be eliminated from further consideration by NYGB as not being at a sufficiently advanced stage of development.
- 3.1.15 Debt Term: For single Projects, NYGB intends to limit the term of any offered Back-Leveraged Loan to at least one (1) year prior to the termination of the NEMC but no later than ten (10) years from the commercial operation date (“**COD**”). For portfolios, the limits will be the same based on the last Project included in the portfolio. If the NEMC(s) are longer in term than 10 years, then full amortization may not be required.
- 3.1.16 Key Financial Terms Including Debt Service Coverage Ratio (“**DSCR**”): In its initial evaluation, NYGB intends to review the Proposer’s models (as submitted per Section 4.1.1.6) to evaluate the quarterly DSCRs for the proposed Back-Leveraged Loans. Proposals for single Projects and portfolios of Projects are expected to have a minimum P50 DSCR of at least [1.35x]<sup>9</sup>. NYGB will give greater weight to transactions with higher DSCRs. In recognition of seasonality and the constraints imposed by a maximum term of 10 years, NYGB will entertain alternative principal amortization schedules and/or reserves to meet acceptable DSCRs. NYGB may consider a mandatory refinancing for some level of principal repayment provided sufficient term remains under the NEMC to allow for such a refinancing. Due to the cash flow issues arising from seasonality, NYGB will evaluate quarterly DSCRs over both trailing and projected 12-month periods in addition to comparing the NEMC pricing with market forecasts.
- 3.1.17 Assignment: As part of its security package for the Back-Leveraged Loans, NYGB intends during construction to take a first-priority security interest in all assets of the Project company and the Borrower including all contracts and agreements. NYGB will release the security interests in all assets of the Project company subject to the intercreditor rights of the tax equity provider. As part of its Phase 2 contract review, NYGB will seek to confirm that contracts have provisions for step-in rights and the assignment of major contracts and agreements to NYGB.
- 3.1.18 Reserves: In addition to an appropriately sized debt service reserve, NYGB will generally require the establishment of a one-year O&M reserve, together with an appropriate inverter replacement reserve.
- 3.1.19 Independent Engineer (“**IE**”): Proposer should be prepared to support the complete data request that comes with the preparation of an IE report which will be completed following the Phase 2 submittal and prior to approval of any Back-Leveraged Loan. In some cases, if the Proposer has retained an IE, NYGB may accept the IE report prepared by Proposer’s IE subject to a reliance letter, provided that such report meets the requirements of NYGB.

<sup>9</sup> Square brackets denote NYGB maximum or minimum levels as appropriate by the context but NYGB may exercise some flexibility regarding these values depending on the parameters of the transaction.

- 3.1.20 Multiple Proposals: If the Proposer contemplates making multiple Proposals, indication of such intent should be included in the Phase 1 Proposal, and the Proposer should state whether the same equity parties will be participating in all the proposed Projects.
- 3.1.21 Prevailing Wages: If the Project is considered a public work covered by Article 8 of the NY Labor Law or a building service agreement covered by Article 9 thereof by reason of the involvement of a public entity as host or RMNCA Counterparty, then Borrower, Project Company and Sponsor will, during the construction of the Project, comply (and cause each contractor and subcontractor to comply), and will certify compliance, with all NYS prevailing wage and hours laws and regulations (see Back-Leveraged Term Sheets: Conditions Precedent to Financial Closing). Proposer will be required to address the applicability of prevailing wage requirements.

## 3.2 NEMC Counterparty Credit Analysis

NYGB will conduct NEMC counterparty credit analysis irrespective of whether or not the NEMC counterparty is publicly rated by one or more of the major rating agencies.

- 3.2.1 Rated Counterparties: For publicly rated counterparties, traditional counterparty credit analysis will be conducted including a review of ratings prepared by S&P Global (formerly Standard & Poor's), Moody's or Fitch.
- 3.2.2 Unrated Counterparties: NYGB will conduct NEMC counterparty credit analysis based on certain information which may include, without limitation, the following:
- No bankruptcy;
  - Proof of no late payments to the utility;
  - In business for at least five (5) years;
  - Evaluation of at least three (3) years of financial statements and IRS filings;
  - FICO Business Score(s);
  - D&B score(s); and
  - NEMC represents approximately one-third of the counterparty's metered power consumption.

To utilize the counterparty credit analysis above, NYGB will also evaluate the proposed transaction on the assumption that remarketing of net energy metering credits is a credit mitigant if the current NEMC counterparty were to default.

NYGB will evaluate NEMC counterparty credit issues that might imperil the transaction and will assess the following information:

- Identification of remarketer which may be the Proposer (if qualified) or a qualified third-party;
- Identification of an appropriate number of other C&I customers in the same utility service zone where each of these other C&I electrical load customers represents no less than approximately three (3) times the output of the Project; and
- While the strength of any particular NEMC is important, NYGB will need to evaluate the Project revenues annually based on the possibility that a replacement NEMC counterparty will be needed (the "**Replacement Analysis**"). NYGB will do this by using a proxy NEMC with pricing derived from discounting forecasted applicable metered rates for the particular utility territory and zone and P50 production levels. If the Replacement Analysis results in DSCRs that are below the minimum required levels, distributions at the Borrower level will be blocked and used to pay down the NYGB loan, until the required DSCR is achieved.

## 4 Proposal Contents

### 4.1 Phase 1: Proposal

The purpose of the Proposal is to provide a complete and detailed description of the Project(s). The Proposal should clearly demonstrate the advanced stage of Project development. While being comprehensive, the Proposal should simultaneously strive to be succinct.

The Proposal should be organized as described below and should address all requested components. Should the Project(s) have special attributes or features not captured by the categories below, these should be included in the description.

The Phase 1 Proposal has several objectives:

- NYGB should be able to develop a clear understanding of the Project(s), including its features, structure and all associated risks, allowing NYGB to make an informed decision on whether or not to invite the Proposal into Phase 2.
- Given NYGB's emphasis on late-stage development Projects for this RFP, there should be a clear demonstration of the advanced development of the Project(s) and the readiness for financing in a relatively short time period.
- The Proposal should clearly articulate the status of each aspect of the Project(s) as part of the description of each component.
- The Proposal should clearly articulate the remaining major steps requiring completion before financing, any issues expected in completing these steps and the schedule for such completion.

#### 4.1.1 Proposal Structure<sup>10</sup>:

4.1.1.1 *Phase 1 Proposal Checklist*: Proposers should fully complete and submit Attachment A. Proposers should provide page numbers on Attachment A specifically indicating where responses to each of the following sub-sections in this Section 4.1.1 can be found.

4.1.1.2 *Summary*: A concise summary of the Project(s) that:

- Identifies the Proposer and contact information;
- Summarizes salient features of the Project(s) including the Project address, capital cost, Project size (kW or MW), technology and revenue agreement type; and
- Describes the key components of the requested Back-Leveraged Loan, applicable Back-Leveraged Term Sheet, amount, term and method of amortization.

4.1.1.3 *Detailed Description of Project(s)*: This is intended to be a more detailed summary description recognizing that many of the elements that will be included in this description will be covered in additional detail in subsequent sections. The description should address major Project areas including but not limited to the Project technologies, site, permit status, major parties, revenue arrangements, status of equity raise including sources and amounts, and major outstanding issues to be resolved prior to financing.

<sup>10</sup> For portfolio transactions, all Projects in the portfolio must be identified and Threshold Requirements must be met. For at least one Project, the Proposal must provide all the Phase 1 information as detailed in this Section 4.1. For the other Projects in the portfolio, a summary description must be provided that includes the anticipated development schedule, the NEMC counterparty, the expected date for the start of construction and the Threshold Requirements.

4.1.1.4 *NYGB Financing:* The Proposer should provide a detailed description of the financing that it is seeking from NYGB under this RFP. For portfolios, the information should be provided on a Project basis and in aggregate for the portfolio. Topics to be addressed include:

- Back-Leveraged Term Sheet to be used for the transaction;
- Size of the loan including, for portfolios, the aggregate amount requested;
- Debt-to-equity ratio;
- Term, including for portfolios, the overall term;
- Amortization schedule including discussion of any requested sculpting or refinancing requirements;
- DSCRs including average over the term portion of the Back-Leveraged Loan and minimum;
- Debt Service, O&M, and inverter replacement reserves; and
- Conformity with the requirements of either [Section 3.2.1](#) or [Section 3.2.2](#).

4.1.1.5 *Equity, Tax Equity & Other Financial Support:* These financial components are critical to the success of the Project as NYGB will not lend 100% of the money necessary to build the Project. The Proposal should address, at a minimum, the following topics to provide clarity on the proposed capitalization amounts, equity participants and equity amounts by source:

- Equity and tax equity source(s), amount(s) and the status of the equity and tax equity raise;
- If all the equity is not sourced from the Proposer or its Sponsor, the name and contact information for all third-party equity, including tax equity. NYGB may contact third-party equity during its evaluation to discuss the Project;
- The level of Proposer equity to be invested in the Project including the amount of Proposer equity during construction and the amount remaining during the term period post-COD; and
- All incentives that will be applied to the Project including any incentives received during construction and operation under NY-Sun Incentive Program or other NYSERDA or utility programs and the use of federal tax incentives, including corresponding incentive amounts and timing of expected receipt thereof.

Note that NYGB will require that the Proposer or Sponsor equity is fully invested in the Project, which may include payments to the utility for interconnection infrastructure and upgrades, before debt can be drawn.

4.1.1.6 *Pro Forma Model:* During its Phase 1 review, NYGB will review the single project model and, if applicable, the portfolio model (which should include a model for each project in the portfolio) prepared by the Proposer.

4.1.1.7 *Technology:* A complete description of the technology utilized by the Project(s) is required including:

- Equipment components, configuration and suppliers for, at a minimum, the panels, inverters and racking and confirmation that the components are Tier 1;
- A description of the contractual arrangements for the procurement of all major equipment and their current status;
- Identification of the installation, EPC and/or BOP contractors including their qualifications to perform their respective roles on the Project(s);
- A description of the contractual arrangements for the installation, EPC and/or BOP activities including their current status; and
- A description of warranties and performance guarantees, if any.

4.1.1.8 *Interconnection:*

- Provide confirmation that the CESIR process has been completed through Step 6<sup>11</sup>;
- Detail any necessary interconnection arrangements including equipment, if any, and status; and
- Provide projected costs and timeline for construction.

4.1.1.9 *Site Control:* Since NYGB considers the ability to control the site to be a threshold matter, provide a description of how the Proposer does or will control the Project site for at least the duration of the Back-Leveraged Loans plus two (2) years. Include in this description details of the necessary contractual arrangements and their current status. If there are any steps remaining to fully control the site, such as conditions precedent in contractual arrangements, please identify them and describe the process and schedule for completing these steps. If the site has not yet been purchased or leased, provide confirmation that the party currently in control of the site has clear authority to enter into sale or lease arrangements.

If the site is not currently owned by a tax paying entity (e.g., public land or tax exempt institution), detail the expected tax treatment of the Project including expected exemptions, if any.

4.1.1.10 *NEMC Arrangements:* Provide a detailed description of the NEMC including a description of counterparties and the NEMC arrangements with sufficient detail for NYGB to evaluate the revenue arrangements. Please provide the name and contact information for the NEMC counterparty. NYGB plans to contact the NEMC counterparty during its evaluation to discuss the Project. Also, include the current status of the contractual arrangements, the steps necessary to complete, and the schedule for doing so. Address the requirements of [Section 3.2.1](#) or [Section 3.2.2](#).

4.1.1.11 *Permits & Environmental:* Permits and environmental reviews are often long lead time items. Accordingly, the status of the permits and environmental review process will be a factor in the evaluation of the development status of the Project. Proposer is requested to describe the following:

- The status of permit acquisition including permits received, significant outstanding permits and the permitting schedule to support transaction closing;

<sup>11</sup> As described in “New York State Standardized Interconnection Requirements and Application Process for New Distributed Generators 5 MW or Less Connected in Parallel with Utility Distribution Systems” issued by the PSC in March 2016 as published on the NY PSC website. Since the URL is complex, Google search for “Updated NYS Standardized Interconnection Requirements (March 2016)” to be directed to the appropriate page.



- If the Project contains more than 4,000 square feet of solar panels, it will be subject to SEQRA. Please indicate whether the Project is subject to SEQRA and if so, the status of the SEQRA process. In particular, provide confirmation that the EAF has been fully completed and submitted to relevant agencies;
- Describe any special site characteristics such as being a former landfill or if other kind of brownfield, previous site uses. If there are special site characteristics, describe how they are being addressed in the design and development process for the Project along with any special permitting or consultation with environmental agencies which is required;
- Describe any identified environmental issues such as hazardous waste contamination on the site. Note that NYGB will require at least a Phase 1 environmental assessment;
- Indicate whether the Project has attracted any environmental or other opposition and the extent and nature of such opposition including a description of the opposing parties. Include any steps taken to address such opposition; and
- Indicate whether the town in which the Project will be located is subject to a solar moratorium and provide details on any such moratorium.

4.1.1.12 *O&M Arrangements:*

- Provide information on the party that will be providing the O&M for the Project including their qualifications for this role;
- A summary of basic terms of the O&M arrangements, including pricing and the source for determining such pricing; and
- A description of the status of the O&M arrangements.

4.1.1.13 *Management & Administration:*

- Provide information on the party that will be providing the management and administration services for the Project including their qualifications for this role;
- A summary of basic terms of the management and administration arrangements including pricing and the source for determining such pricing; and
- A description of the status of the management and administration arrangements.

4.1.1.14 *Insurance:*

- Provide a description of the contemplated insurance program including proposed limits for the construction, operation and liability cover, key sub-limits and deductibles.

4.1.1.15 *Expected Clean Energy Outcomes:* As part of its mission, NYGB must demonstrate successful clean energy outcomes for all the Projects to which it commits capital. For all Projects funded pursuant to this RFP, NYGB plans to calculate and report (on an aggregated and anonymized basis) the expected clean energy outcomes based on Proposer-supplied information as follows:

- Aggregate annual energy production projected over estimated life of Project with the initial estimate provided in the Phase 1 Proposal and confirmed prior to transaction closing including projected annual production. NYGB will require

reporting of the actual production quarterly during the life of the Back-Leveraged Loan.

4.1.1.16 *Proposer Description:* It is important for NYGB to know its Proposers so that it can evaluate their capabilities for completing the Project and servicing the Back-Leveraged Loan over its life. To this end, please:

- Identify the officers and management of the Proposer. If the proposed Borrower is different, then include the officers and managers of the proposed Borrower as well;
- Provide a structure diagram showing all organizational entities from the Project Company and the Borrower to the ultimate parent(s) including ownership percentages. If there are options or other instruments that may be exercised, include structure diagrams for both pre-exercise and post-exercise of the options, showing the structure on a fully diluted basis (as applicable);
- Confirm that the owners of the Borrower agree regarding all elements of the Project including the structure and the NYGB loan terms and are prepared to proceed toward closing in accordance with the NYGB process described in this RFP;
- Detail the qualifications of the Proposer for undertaking the Project(s) including its experience with similar projects; and
- Provide summary biographies and resumes for key personnel.

4.1.1.17 *Remaining Development Requirements:* This section of the Proposal should clearly articulate the remaining major steps requiring completion before financing, any issues expected in their completion and the schedule for completing the outstanding steps.

## 4.2 Phase 2: Contractual Arrangements & Fee

Upon invitation by NYGB, Proposers are to submit contracts, agreements and other supporting documentation as described below and will be requested to make an in-person presentation. Phase 2 is intended by NYGB to allow for a review of the contracts and agreements to confirm the stage of Project development and to determine any major contractual issues. The other elements of the due diligence process, including the work of the IE, will take place in Phase 3. Along with the Phase 2 requested materials described below, the Proposer will be required to pay a non-refundable fee of \$10,000 per Project (the “**Phase 2 Fee**”) which will be used by NYGB to cover the costs of initial review. NYGB will only continue to consider Projects that have paid the Phase 2 Fee. Specific fee submittal instructions will be included in the NYGB invitation to Phase 2.

The elements of the Phase 2 Proposal and process include:

- (a) Invitation to the Proposer from NYGB to enter the Proposal into Phase 2. From receipt of invitation, the Proposer will be given four (4) weeks to submit: (i) the Phase 2 materials as described below; and (ii) the Phase 2 Fee. Delays in submitting the full set of required materials or fee may be grounds for NYGB discontinuing consideration of the transaction.
- (b) In the invitation to Phase 2, the Proposer will be requested to schedule a detailed, in-person presentation of the Proposal by management to NYGB in its New York City offices. Its purpose will be to introduce the senior management team to NYGB and provide a synopsis of the Proposal.
- (c) In Phase 2, NYGB is requesting all Project contracts and agreements (including those enumerated in Section 3.1) in their current form as of the Phase 2 submission even if they are not executed or in a final executable form. The contracts and agreements should be submitted with a cover note to each contract or agreement explaining its current status, and which elements of each contract are still being negotiated. For each contract or agreement that is not executed or in near final or executable form, the cover note should provide the schedule for reaching this level of contract development.

- (d) In general, NYGB believes that first drafts of agreements that have not undergone negotiations do not demonstrate an acceptable level of development of that specific contract. Therefore, Proposers are advised to keep such first draft agreements to a minimum and to avoid such drafts for the more significant contractual arrangements.
- (e) Proposer should submit the EAF along with any other SEQRA materials prepared for other permitting or approval agencies relevant to the Project.
- (f) NYGB will re-evaluate the Project as part of its Phase 2 contract review using the same methodology as employed for Phase 1, taking into consideration all advances in the Project development and to determine if the Project is acceptable for Phase 3.
- (g) The agreements, in aggregate, should provide a clear picture of the Project.
- (h) The Phase 2 Proposal should also include an update of the Project development, if any, from that detailed in Phase 1. In particular, areas where significant development advances have occurred should be carefully delineated.
- (i) The Proposer should also include its comments on the appropriate Back-Leveraged Term Sheet. As a reminder, NYGB endeavored to create term sheets that balance the interests of all parties so they should only be marked up as absolutely necessary.
- (j) At the conclusion of its Phase 2 evaluation, NYGB will inform the Proposer of its findings and its decision to either: (i) invite the Project into Phase 3; or (ii) require resolution of Project deficiencies before the invitation into Phase 3 can be extended. Proposers whose Projects are invited into Phase 3 will be provided with the NYGB credit agreement, assignment and consent agreements and other required financing documents (collectively the “**Transaction Documents**”).

### 4.3 Phase 3: Due Diligence, Documentation & Approval

During Phase 3, NYGB will complete the remainder of its required due diligence, work with the Proposer to prepare all required documentation for the financing of the transaction and seek the necessary NYGB approvals. The Proposer is expected to provide support for each of these tasks and should be prepared to answer specific questions and fulfill detailed data requests, including those generally forthcoming from an IE. Each component of Phase 3 is described below.

#### 4.3.1 Due Diligence.

4.3.1.1 *Construction & Operating Performance:* NYGB will seek to determine the readiness for construction and the projected Project performance based on due diligence including but not limited to the following construction and performance related items:

- Equipment supply;
- Installation, EPC and/or BOP agreements. Note that on a case by case basis, NYGB reserves the right to require performance guarantees;
- Construction schedule;
- Environmental issues including any Phase 1 environmental audit;
- Site control;
- CESIR;
- Interconnection agreement; and

- IE Report: NYGB will commission an IE report covering typical issues and including PVsyst® analysis for the Project. If the Proposer has already engaged an IE, NYGB may, upon review of the IE firm and its qualifications as well as the scope for the IE work, decide to utilize the Proposer's IE upon the provision of a reliance letter to NYGB, provided that such report is acceptable to NYGB. Prior to commencing the IE report, the Proposer will be provided with a scope of work and budget for the report.

4.3.1.2 *Operations & Administration:* NYGB will evaluate the plans for the operation and administration of the Project including evaluation of a Project pro forma model (See [Section 4.3.1.9](#)) covering the term of the Back-Leveraged Loans. NYGB will use the pro forma model to address various scenarios relating to the operation of the Project.

4.3.1.3 *Revenue Arrangements:* At this stage, NYGB expects to be able to evaluate near final remote net metering arrangements. The Proposer will also need to demonstrate that the NEMC meets the requirements of NYPSL § 66-j including the analyses in [Section 3.2.1](#) and [Section 3.2.2](#).

4.3.1.4 *Financing Plan:* NYGB will evaluate the financing plan for the Project including the requested level of debt financing, equity by source and amounts and evidence of each equity provider's availability and commitment over the near term and the long term. Such evaluation will also consider the level of sponsor investment and the extent it remains in the Project over time as NYGB considers continued Sponsor net investment to be a positive feature of any Project signifying a continuing commitment to the Project.

With respect to tax equity, NYGB will require that there is a strong tax equity commitment in place prior to closing and reserves the right to require that tax equity documentation is in place with appropriate conditions precedent.

4.3.1.5 *Construction Budget:* A complete construction budget showing sources and uses, a draw schedule for both debt and equity and a detailed construction budget with all expenditures prior to Project completion. NYGB will require that the equity be funded in advance of draws on the Back-Leveraged Loan.

4.3.1.6 *Permits & Approvals:* Demonstration that the NY-Sun process, if applicable, has been completed, all permits have been issued or are expected to be issued prior to the scheduled financial closing and, if applicable, the SEQRA process has been completed or is expected to be completed before the scheduled financial closing.

4.3.1.7 *Credit Quality:* NYGB will evaluate the credit quality of all Project parties and counterparties as part of assessing counterparty risk. With respect to the NEMC counterparty, NYGB will also look at the applicable forecasted metered rates, as described earlier in [Section 3.2.2](#).

4.3.1.8 *Title Report:* Due to the importance of site control, early in Phase 3, the Proposer will be required to submit a title report for all properties comprising the Project site and any necessary access rights-of-way or easements.

4.3.1.9 *Pro forma Model:* During Phase 3 due diligence, a more detailed operating and financial pro forma model will be used. The more detailed model will incorporate panel output and degradation, solar irradiance, etc., and will be used by NYGB to evaluate the Project. This model will include a data input sheet documenting the source of all inputs. The model will be a Project document as defined in the loan agreement and will jointly be agreed to between NYGB and the Borrower. If the model used for Phase 3 is provided by the Proposer, NYGB will have it validated.

4.3.1.10 *Know Your Customer:* NYGB will conduct "Know Your Customer" due diligence similar to that conducted by comparable financial institutions and other government agencies.

- 4.3.2 **NYGB Approval.** NYGB will prepare its Transaction Approval Memo for consideration by its Investment & Risk Committee concurrently with the due diligence and documentation effort but cannot seek approval until the due diligence is completed and the Back-Leveraged Loan documentation is at an advanced stage. NYGB approval in accordance with the NYGB Policies & Procedures is generally received shortly before financial closing.
- 4.3.3 **Documentation.** As part of its effort to standardize the documentation of PV solar transactions as contemplated by this RFP, NYGB will utilize standard loan documentation prepared by its counsel. The Back-Leveraged Loan documentation will include all necessary Transaction Documents which will be provided to the Proposer and its counsel during Phase 3. The Transaction Documents will be consistent with the Back-Leveraged Term Sheets provided as part of this RFP with the proposed Proposer changes to the Back-Leveraged Term Sheets (provided in Phase 2) to be considered.
- 4.3.4 **Closing.** Once the conditions precedent to financial closing have been met, closing of the transaction can proceed quickly. Conditions precedent are described in the Back-Leveraged Term Sheets.

## 5 General Conditions

### 5.1 Costs & Expenses

Once a Proposal has been submitted to NYGB and evaluated as meeting the requirements of this RFP, the proposed transaction will move into NYGB's active pipeline. The borrower/investee and/or sponsor of each transaction in the active pipeline shall pay all reasonable costs and expenses of NYGB associated with the preparation, due diligence, development, and administration of all investment-related documentation (including the fees, disbursements and other charges of outside counsel to NYGB, independent engineers, background investigators, or other consultants, as described in the engagement letter to be executed between sponsor and NYGB), regardless of whether or not the proposed investment is closed. In addition, Proposers may be required to provide a cash deposit on account of NYGB's third party expenses in advance of substantive work on the part of NYGB and its advisors. Borrower/investee will also pay third-party fees and expenses incurred by NYGB in connection with the administration, amendment, waiver, modification or enforcement of any of the investment-related documentation.

### 5.2 Impact Metrics – Estimates, Reporting & Evaluation

NYGB collects and disseminates project and investment performance data (on an aggregated and anonymized basis) to facilitate improving investor confidence in addition to promoting standardization wherever possible to help drive down transaction costs. As NYGB finalizes and executes documentation for each investment, Proposers will be required to assist NYGB in its efforts to estimate the energy, environmental and economic impact the transaction will deliver in NYS throughout the tenor of the term. This will involve the provision of data collection that supports estimated energy savings or installed capacity assumptions and agreed upon provisions to evaluate the impact the transaction has had on the clean energy finance markets. Some examples of evaluation methodologies may include: technologies deployed, technology performance, site visits, scale of projects, financial performance, access to capital, costs of capital and project costs.

After the transaction is executed, Proposers will be required to deliver impact-related data (e.g. energy, environmental and economic development-related data) as determined by NYGB and the Proposer, to be delivered no less frequently than quarterly (and within 30 days following the end of each calendar quarter), for at least the duration of the agreement. An [Illustrative Quarterly Impact Reporting Template](#) of such data as relates to environmental impact can be found on the RFP Resources page on NYGB's website. Data submitted (aggregated and anonymized) will be included in requisite public or other reports and may be used otherwise in accordance with regulatory requirements to which NYGB is subject.

NYGB will also seek periodic information relating to additional impact data, such as job creation, use of contractors or other transaction counterparties based in New York, or impacts on New York's economy resulting through supply chain development.

### **5.3 Municipal Advisor Rules**

NYGB is aware of the amendments to Section 15B of the Securities Exchange Act of 1934 effectuated by Section 975 of Title IX of the Dodd-Frank Act, as well as SEC Release No. 34-70462 (September 20, 2013). In this regard, please note that NYGB considers discussions with potential Proposers, and the review of Proposals, to be arm's-length negotiations. NYGB recognizes that Proposers have financial and other interests that differ from NYGB; as such, NYGB does not consider a fiduciary relationship to arise in this context. NYGB has engaged an independent registered municipal advisor (“**IRMA**”) with the intent of relying (i.e., taking into careful consideration, along with any other information deemed relevant or appropriate) on that IRMA for advice related to any potential transactions (but not bound to follow that advice), and consequently allowing Proposers to qualify for the exemption provided by 17 CFR §240.15Ba1-1(d)(3)(vi) (the “**IRMA exemption**”). The name and contact information of the IRMA is listed on the NYGB website at [www.greenbank.ny.gov/IRMA](http://www.greenbank.ny.gov/IRMA), and the IRMA is available to respond to any questions a Proposer may have with respect to the IRMA's independence.

### **5.4 Proprietary Information**

Among NYGB's goals is the promotion of standardization of material contract terms and structures, and the collection of project performance data across NYGB transactions. NYGB is keenly aware that commercial markets and their incumbents value non-disclosure extremely highly to protect confidential transaction terms and other competitive information and NYGB remains highly sensitized to usual and customary confidentiality practices. Nevertheless, as a division of NYSERDA, certain State laws specifically apply to NYGB and it is recommended that careful consideration be given before confidential information is submitted to NYGB as part of any Proposal. Review should include whether it is critical for evaluating a Proposal, and whether more general, non-confidential information may be adequate for review purposes.

New York's Freedom of Information Law, Public Officers Law, Article 6, provides for public access to information NYSERDA and its divisions possess. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYGB that the 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 out in 21 NYCRR Part 501. The confidentiality of any information submitted cannot be guaranteed.

### **5.5 Limitation**

This RFP does not commit NYGB to agree to participate in any transaction, proceed to negotiate any terms or definitive documentation, pay any costs incurred in preparing a Proposal or to procure or contract for services or supplies. NYGB reserves the right to accept or reject any or all Proposals received, to negotiate with all qualified parties or to cancel in part or in its entirety this RFP when it is in NYGB's best interest.

### **5.6 Disclosure Requirement**

The Proposer shall disclose, for any team member, any indictment for alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe the relevant circumstances. When 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 similar governing body. If an indictment or conviction comes to the attention of NYGB or NYSERDA after NYGB has indicated its interest to, or has agreed to enter into or participate in, any transaction NYGB may terminate the agreement and the Proposer may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if any team members have ever been disbarred or suspended by any agency of the United States Government or the NYS Department of Labor.

## **6 Attachments**

Attachment A: Phase 1 Proposal Checklist (Mandatory)

Attachment B: Structure Charts

Attachment C: Single Project Term Sheet

Attachment D: Portfolio Term Sheet



## NextGen Heating, Ventilation, and Air Conditioning Request for Information (RFI) 3410

**Comments Due: February 22, 2017 by 5:00 PM Eastern Time\***

The purpose of this Request for Information (RFI) is to acquire information that will assist the New York State Energy Research and Development Authority (NYSERDA) in the development of its NextGen Heating, Ventilation, and Air Conditioning (HVAC) program. The NextGen HVAC program seeks to reduce the energy use and total costs of New York State (NYS) residential and commercial consumers through the advancement of heating, ventilation, and air conditioning systems. NYSEDA hereby solicits stakeholder input in developing a prioritized list of research and study needs associated with development of the next generation of heating, ventilation, and air conditioning systems.

**Respondents should provide only information that can be made public by NYSEDA. All information submitted in response to this RFI will be considered non-confidential and may be shared with others outside of NYSEDA.**

Comments and feedback should be submitted via email to [rfi.nextgen.hvac@nyserda.ny.gov](mailto:rfi.nextgen.hvac@nyserda.ny.gov), with the Subject Line "RFI 3410 Comments": Alternatively, comments and feedback may be submitted in writing to:

Michael Genovese  
RFI 3410 Comments  
New York State Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399

If you have technical questions concerning RFI 3410, contact Michael Genovese at (518) 862-1090, ext. 3103 or by e-mail [Michael.Genovese@nyserda.ny.gov](mailto:Michael.Genovese@nyserda.ny.gov).

No communication intended to influence this RFI is permitted except by contacting Michael Genovese (Designated Contact) at (518) 862-1090, ext. 3372 or by e-mail [Michael.Genovese@nyserda.ny.gov](mailto:Michael.Genovese@nyserda.ny.gov).

**\* Faxed responses will not be accepted. Responses will not be accepted at any other NYSEDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSEDA's web site at <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>.**



## I. Introduction

To reach the goals established under the Reforming the Energy Vision (REV) of a 40% reduction in greenhouse gas emissions from 1990 levels, 50% of all New York's energy to be generated from renewable sources, and a 23% reduction in energy consumption of buildings from 2012 levels, NYSERDA will focus efforts on high-impact areas and embrace a stronger technology-to-market focus.

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.

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.

NYSERDA is publishing this RFI as a means for stakeholders from the broad HVAC community, both inside and outside of NYS, to contribute and expand on specific ideas related to the program. Potential stakeholders responding to this RFI include, but are not limited to: universities, national laboratories, building systems startups and entrepreneurs, product manufacturers, system designers, builder and trade associations, vendors, energy consultants, contractors, and building managers, developers, and owners.

NYSERDA will use the information received from this RFI to identify strategies, key issues, opportunities, current industry practices, and resources which may be most useful in determining future HVAC programs, including competitive solicitations and contracting strategies. The planned program activities currently include: HVAC technology challenges, technology validation efforts, tech to market support, and outreach. Ideally, these efforts will feed the innovation pipeline with near-term product development and demonstration projects and long-term research and development. More background information on proposed program activities is available in Category 5 – Program Implementation below. NYSERDA anticipates an HVAC Program Funding Opportunity for release in early 2017.

## II. Responding to this RFI

The RFI will be posted on this website for public access: <https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>. The response to the RFI should be submitted as follows:

If the total size of the response is less than 20 MB, including attachments, **electronically** to the following email address: [rfi.nextgen.hvac@nyserderda.ny.gov](mailto:rfi.nextgen.hvac@nyserderda.ny.gov).

If the total size of the response is larger than 20 MB, including attachments, please include **one (1) paper copy** and **one (1) digital copy** of the response to:

**Michael Genovese, RFI 3410**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

The response must be as a separate attachment to the email (.docx or .pdf format) and provide the information listed in **Content of Response** below. The Respondent's submission should contain **no confidential and/or trade secret information**. All information submitted will be considered public



information and may be shared with individuals outside of NYSERDA. If an entity submits a response that is marked confidential/trade secret, NYSERDA will consider it non-responsive and return it to the submitter.

### III. Information Requested

Respondents should understand that any and all responses provided through this RFI will be treated as preliminary and non-binding. Respondents should only provide information that can be made public by NYSERDA and shared with others outside of NYSERDA. All information submitted in response to this RFI will be considered non-confidential/non-proprietary.

NYSERDA wishes to identify opportunities to accelerate the development of the next generation of heating, ventilation, and air conditioning technologies in such a way that maximizes the use of native assets and provides solutions specific to the NYS market and building stock. Through this RFI, NYSERDA seeks to leverage stakeholder and industry expertise in the following areas:

- Category 1 – Compressorless HVAC Technologies
- Category 2 – Advanced Controls, Thermal Storage, & Renewables
- Category 3 – Cold Climate Heat Pumps
- Category 4 – Thermal Distribution Losses
- Category 5 – Program Implementation & Challenges
- Category 6 – Other

Please see Attachment A for a full description of the above categories, including questions to be addressed in a response.

### IV. Content of Response

#### Required Respondent Information

Responses should not be excessively long or submitted in an elaborate format. Responses should be limited to 4 pages per category listed above. The following items must be included in every response to this RFI:

- a. Respondent’s name, affiliation, title, and primary contact information.
- b. Identify and provide general background information about your organization, including a summary of any previous experience that could be relevant to this RFI. Current or prior NYSERDA awardees should identify themselves accordingly.
- c. Each page of the response should state the name of the respondent, the RFI number, the category, and the page number

### V. Webinar

**Informational Webinar:** NYSERDA will conduct an hour-long informational webinar on Wednesday February 1<sup>st</sup>, 2017 at 2:00 PM EST. NYSERDA staff will describe the RFI and answer questions relating to the program. Prior registration for the webinar is available, but not required. Instructions to participate in the webinar are as follows:

**Step 1** – Join the webinar to view the presentation slides and submit questions. From a web browser, go to: <https://nyserda.webex.com/nyserda/j.php?MTID=mc4b31920b7cdf664538cbe68c5d68018>.

Meeting number (access code): 738 142 458

Meeting password: 3410

Enter your name, email, and the meeting password.

When the meeting session launches, you will see a popup window with the call-in information. Please note your unique Attendee ID.

**Step 2** – Join the audio conference



Dial (415) 655-0001.

Enter the meeting access code.

Enter your unique Attendee ID, which is displayed when you login, to link your phone audio and internet presence.

## VI. General Conditions

### Outcome

The information gathered by NYSERDA will be advisory only and is not binding on any state agency, office, commission, or public authority. Any actions recommended by NYSERDA will be subject to all applicable laws, including procedural, regulatory and environmental review requirements.

### Disclaimers

This RFI is neither a contract offer, nor a request for proposals and does not commit NYSERDA to award a contract, pay any costs incurred in preparing a response, or to procure or contract for services or supplies. Respondents are encouraged to respond to this RFI; however, failure to submit a response will not impact a Respondent's ability to respond to any future competitive solicitation process (if any) for projects, or influence the selection of a service provider going forward or affect its rights and obligations under any applicable laws or in any legal proceeding. NYSERDA reserves the right to discontinue or modify the RFI process at any time, and makes no commitments, implied or otherwise, that this process will result in a business transaction or negotiation with one or more Respondents, or approval or disapproval of any proposal submitted pursuant to this RFI. Respondents are advised that all costs associated with responding to this RFI will be solely at their expense. There are no representations or warranties regarding the accuracy or completeness of the information contained in this RFI, or regarding the nature of any evaluation of, or regarding a recommendation (if any) with respect to any proposal submitted pursuant to this RFI. Respondents are responsible for making their own evaluation of information and data contained in this RFI and for preparing and submitting responses to this RFI.

### Freedom of Information Law

Proprietary Information - The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. 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>. As a general rule, NYSERDA's records and the records furnished to NYSERDA are accessible to the public, subject only to exceptions enumerated in FOIL. As previously indicated, all information submitted in response to this RFI will be considered non-confidential/non-proprietary. If an entity submits a response that is marked confidential/trade secret, NYSERDA will consider it non-responsive and will return it to the submitter.



## “MetOcean Campaign for the Proposed New York Wind Energy Area” Request for Information (RFI) 3396

Comments Due: December 15, 2016 by 5:00 PM Eastern Time\*

The purpose of this Request for Information (RFI) is to gather feedback from offshore wind energy developers, consultants, financiers, scientists, regulators and other stakeholders on the draft MetOcean Plan ([www.nyserda.ny.gov/offshore](http://www.nyserda.ny.gov/offshore)) developed by the New York State Energy Research and Development Authority (NYSERDA). NYSEDA intends to implement the final MetOcean Plan in 2017 to support and facilitate the development of the New York Wind Energy Area (WEA) identified by the Bureau of Ocean Energy Management (BOEM), south of Long Island’s Rockaway Peninsula, off the coast of New York.<sup>1</sup>

Comments and feedback should be submitted via email to [gregory.lampman@nyserda.ny.gov](mailto:gregory.lampman@nyserda.ny.gov) , with the Subject Line “RFI 3396 Comments”: Alternatively, comments and feedback may be submitted in writing to:

**Gregory Lampman**  
**RFI 3396 Comments**  
**New York State Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

If you have technical questions concerning RFI 3396, contact Gregory Lampman at (518) 862-1090, ext. 3372 or by e-mail [gregory.lampman@nyserda.ny.gov](mailto:gregory.lampman@nyserda.ny.gov).

No communication intended to influence this RFI is permitted except by contacting Gregory Lampman (Designated Contact) at (518) 862-1090, ext. 3372 or by e-mail [gregory.lampman@nyserda.ny.gov](mailto:gregory.lampman@nyserda.ny.gov); or Greg Matzat (Secondary Contact) at (518) 862-1090, ext. 3091 or by e-mail [greg.matzat@nyserda.ny.gov](mailto:greg.matzat@nyserda.ny.gov).

\* Faxed responses will not be accepted. Responses will not be accepted at any other NYSEDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSEDA’s web site at [www.nyserda.ny.gov](http://www.nyserda.ny.gov).

<sup>1</sup> <http://www.nyserda.ny.gov/About/Newsroom/2016-Announcements/2016-06-02-New-York-State-to-Participate-in-Offshore-Wind-Lease-Auction>

## INTRODUCTION

The 2015 New York State Energy Plan establishes a clean energy goal that 50% of New York's electricity needs be provided by renewable energy by 2030. To implement this goal, the New York State Public Service Commission established its Clean Energy Standard, charting a course that mandates the procurement of renewable energy by energy suppliers who are providing energy services to New York households and businesses. Meeting these commitments will require a significant increase in the amount of renewable energy resources in New York, as well as require innovative approaches to the energy markets to ensure these energy resources provide reliable and affordable service to energy consumers.

Offshore wind in the Atlantic Ocean can serve as a significant, clean source of power for the State. It also has the potential to serve as a new, local source of affordable power for the New York City Metropolitan Area and Long Island, where energy demand and prices are higher relative to other areas. However, like all energy resources, offshore wind must be developed thoughtfully and responsibly.

One of the early needs in development of an offshore wind energy project is a site assessment of wind speeds to estimate the available wind resource in the area and provide developers and their funders with the confidence in the financing of any potential wind farm. Other data to complement this can also be collected at the same time, including information on, wave heights, ocean currents and seabed conditions. Good quality data on such variables is crucial in the planning and development of offshore wind farms. Not only does quality data provide more assurance about the available resource and potential revenue for developers, but it also ensures that projects are sited in the most appropriate places for the benefit of the environment, engineering needs, and for the people of New York.

In order to gather bankable wind resource data time and cost-efficiently, NYSERDA proposes to undertake a floating LiDAR campaign in the Wind Energy Area. It is NYSERDA's understanding that, to date, there has not been a trial of this nature in the United States, making NYSERDA's effort pioneering and ambitious. It is therefore in the global industry's interests for this trial to be carried out effectively and for useful and reliable data to be collected.

LiDAR technology is a relatively recent development in the offshore wind market for wind resource assessments. Financiers in the past have preferred the reliability and accuracy of fixed meteorological masts. However, through measurement campaigns, further analysis and research projects such as those run by Carbon Trust's Offshore Wind Accelerator, LiDAR is becoming an accepted and established way of predicting the wind resource of offshore wind farms. Financiers and banks' engineers are now routinely accepting many LiDAR device measurements when carrying out due diligence on projects, and developers are stimulating changes to many industry standards to accommodate LiDAR technologies. LiDAR technologies can offer more flexibility, at a lower cost, with shorter permitting and deployment timelines, and with a much lower environmental impact than conventional meteorological masts.

This RFI requests input on the draft MetOcean Plan ([www.nyserderda.ny.gov/offshore](http://www.nyserderda.ny.gov/offshore)) developed by NYSERDA. The MetOcean Plan outlines NYSERDA's proposed approach to collecting MetOcean data for use by offshore wind energy developers to support environmental and resource assessments, project design and project financing. This MetOcean Plan is just one part of New York State's Offshore Wind Master Plan intended to reduce the time, cost, and uncertainty of the offshore wind energy development process, in a manner that fully considers environmental, maritime, and societal issues, resulting in a fully balanced evaluation and identification of potential offshore wind sites. The MetOcean Plan describes the approach to be used in the MetOcean Campaign. All data collected through the MetOcean Campaign will be made publically available, in a timely fashion.

## INFORMATION REQUESTED

NYSERDA wishes to gather informed feedback and input on the Draft MetOcean Plan, available at: [www.nyserderda.ny.gov/offshore](http://www.nyserderda.ny.gov/offshore). NYSERDA's intention is to use this information to improve and revise the Draft MetOcean Plan, and implement the final MetOcean Plan in 2017 to support and facilitate the development of the Wind Energy Area (WEA) identified by the Bureau of Ocean Energy Management (BOEM) south of Long Island's Rockaway Peninsula, off of the Coast of New York. The Draft MetOcean Plan was also developed to leverage this initial focus, allowing it to be expanded to other areas in the New York Ocean Planning Area<sup>2</sup>.

NYSERDA seeks informed feedback and comments, with justification and citations where appropriate, that improve the quality of the data collected through the MetOcean campaign, or that improves the efficiency or cost-effectiveness of other site assessment work. Specific questions and opportunities for feedback are described in the draft MetOcean Plan available at: [www.nyserderda.ny.gov/offshore](http://www.nyserderda.ny.gov/offshore). Respondents should understand that cost considerations played a role in development the draft MetOcean Plan. The options presented attempt to balance the cost of the MetOcean Campaign with the quality and types of the data collected.

Respondents should understand that any and all responses provided through this RFI will be considered in the final MetOcean Plan, but that not all feedback will necessary be incorporated. Decisions regarding what will be adopted in the final MetOcean Plan are at NYSERDA's discretion.

Respondents should provide clear distinction between proprietary and public information in their responses. Information submitted to NYSERDA that the respondent wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. NYSERDA does not intend to publish the respondents' individual responses. If responses are made available, any identifying information relating to the entity or individual providing the comments will be removed.

Through this RFI, NYSERDA seeks to leverage the combined knowledge of offshore wind energy developers, consultants, financiers, scientists, regulators and other stakeholders to develop a more informed and valuable MetOcean Campaign.

## CONTENT OF RESPONSE

Responses to this RFI must be submitted in PDF format and via email to [gregory.lampman@nyserderda.ny.gov](mailto:gregory.lampman@nyserderda.ny.gov), with the Subject Line "RFI 3396 Comments": Alternatively, comments and feedback may be submitted in writing to:

Gregory Lampman  
RFI 3396 Comments  
New York State Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399

Responses should be directed toward the information specifically requested in the draft MetOcean Plan. On the first page of the response, the name of your organization, its location, a contact person, phone number, and email address must be provided.

<sup>2</sup>[http://docs.dos.ny.gov/communitieswaterfronts/ocean\\_docs/NYSDOS\\_Offshore\\_Atlantic\\_Ocean\\_Study.pdf](http://docs.dos.ny.gov/communitieswaterfronts/ocean_docs/NYSDOS_Offshore_Atlantic_Ocean_Study.pdf)

Responses should not be excessively long or submitted in an elaborate format. Each page of the response should state the name of the respondent, the RFI number, and the page number.

A response to RFI 3396 does not bind, obligate, nor preclude the respondent to any current or future agreement of provision or procurement of services referenced.

## 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.

**Disclaimers** - This RFI is not a contract offer, and does not commit NYSERDA to award a contract, pay any costs incurred in preparing a response, or to procure or contract for services or supplies. Respondents are encouraged to respond to this RFI; however, failure to submit a response will not impact a respondents' ability to respond to any future competitive solicitation process (if any) for projects. NYSERDA reserves the right to accept or reject any or all information received, or to modify or cancel in part or in its entirety this RFI at any time. Respondents are advised that all costs associated with responding to this RFI will be solely at their expense. There are no representations or warranties regarding the accuracy or completeness of the information contained in this RFI. Respondents are responsible for making their own evaluation of information and data contained in this RFI and for preparing and submitting responses to this RFI.



**NY Green Bank**  
A Division of NYSERDA

# NY Green Bank

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Financing Arrangements for Renewable &  
Energy Efficiency Projects:  
Office, Commercial & Industrial, and Multi-  
Family Real Estate Properties

Request for Proposals  
(Ongoing Solicitation)

RFP No. 8

Version 1.0 - March 2017



# 1 Introduction

## 1.1 Opportunity & Overview

NY Green Bank (“**NYGB**”) invites all office, commercial and industrial and multi-family building owners, investors, and clean energy contractors/service providers targeting such properties, to propose transactions to NYGB that contemplate the financing of the purchase and ownership of energy efficiency and/or renewable energy assets (a “**Project**” or “**Projects**”) by building owners.

NYGB will provide debt for up to the full capital cost of such energy efficiency and/or renewable energy investments. NYGB will underwrite to the credit quality of the underlying real estate asset, up to a loan-to-value (“**LTV**”) of 80%, and a minimum projected debt service coverage ratio (“**DSCR**”) of 1.40-times. NYGB can be flexible with its loan product, offering it in the form of mezzanine debt to the project’s ownership company (usually a special-purpose vehicle (“**SPV**”) that owns the real estate asset), or subordinated debt or a secondary loan against the property. NYGB understands that properties may already be secured under an existing lender’s first mortgage and, if so, that NYGB may obtain its security in the equity of the property at the sponsor or SPV level only.

Real estate-related energy efficiency initiatives represent one of the largest proven, untapped resources of energy efficiency in New York State (“**NYS**”). Similarly, commercial and multi-family properties frequently present siting opportunities for renewable energy projects, either through large flat rooftops which have the potential for accommodating rooftop solar, or large ground areas and/or parking lots which might naturally prove good siting for ground-mounted solar projects. However, adoption remains slow. Based on market experience and feedback solicited from those active in the clean energy sector, NYGB understands that financing barriers are, in part, a reason for this slow pace of adoption. To make an impact on this target market, this Request for Proposal (“**RFP**”) introduces an NYGB financing product/approach that seeks to provide:

- (a) A new option for clean energy/renewables asset finance;
- (b) An efficient and streamlined solution from the standpoint of building owners and investors, equipment providers/contractors and other market participants – including first mortgage holders; and
- (c) A standardized documentation, underwriting, pricing and security package that will meet the needs of private investors upon replication and the creation of meaningful scale.

Electronic submission of responses (each, a “**Proposal**”) to this RFP is required. [Instructions to Submit Proposals](#) can be found on the “**RFP Resources**” page on NYGB’s website. This RFP will remain open, and Proposals will be evaluated on a rolling basis, as received. The purpose of an ongoing RFP process is to ensure that all potential NYGB clients and counterparties have an opportunity to propose transactions and financing arrangements, as market needs develop and change over time. Each Proposal will be reviewed in accordance with the objective evaluation criteria described in [Section 4 \(Proposal Evaluation\)](#). This competitive selection process will be applied consistently to all complete RFP submissions.<sup>1</sup>

As an ongoing solicitation, proposers (“**Proposers**”) may resubmit Proposals if circumstances change, or if the initial Proposal does not address this RFP in a complete manner. Any commonly used formats (e.g., Microsoft Word, PowerPoint and Excel, and Adobe PDF) in commercial submissions are welcome. Proposers can expect the initial response following NYGB’s receipt of a Proposal generally within two weeks from the date of such receipt.

Direct communication and engagement between NYGB and potential clients and counterparties is permitted prior to proposal submittal and after evaluation of a Proposal. If you have questions or seek further engagement, please contact [InvestmentRFPs@greenbank.ny.gov](mailto:InvestmentRFPs@greenbank.ny.gov). If you have questions regarding the Securities and Exchange Commission Municipal Advisor Rules, please see [Section 5.3 \(General Conditions –](#)

<sup>1</sup> Subject to the Office of State Comptroller Rule (Part 206 to NYRR Title 2) (the “**Comptroller Rules**”) and consistent with NY Green Bank Operations & Procedures Manual.

Municipal Advisor Rules).

**Please note that failure to respond to this RFP in a complete manner by addressing all the topics described in Section 2 (Eligibility Requirements), Section 3 (Proposal Contents) and Section 4 (Proposal Evaluation) renders NYGB unable to take further action on a Proposal.**

## 1.2 Background

NYGB is a division of the New York State Energy Research and Development Authority (“**NYSERDA**”), acting as a \$1.0 billion State-sponsored specialized financial entity focused on mobilizing greater clean energy investment and projects within NYS. NYGB is structured and operated in a manner comparable to private investment funds and financing entities, including with respect to entering into transactions on market terms, being self-sustaining and covering its own costs of operation. NYGB is a key component of New York’s Clean Energy Fund (“**CEF**”).<sup>2</sup> The CEF is a \$5.3 billion commitment, and part of Governor Andrew M. Cuomo’s Reforming the Energy Vision (“**REV**”) strategy to advance clean energy growth and innovation and drive economic development across the State, while reducing ratepayer collections. For more information on the CEF and REV strategy, see [www.nysesda.ny.gov/About/Clean-Energy-Fund](http://www.nysesda.ny.gov/About/Clean-Energy-Fund) and <https://rev.ny.gov/>.

The key elements of NYGB’s mission are collaborating with private sector participants, implementing structures that overcome market barriers and address financing gaps in current clean energy financing markets, and transforming those markets by enabling greater scale, new and expanded asset classes and increased liquidity. Consistent with this mission and its investment criteria, NYGB’s key goals are to:

- (a) Attract private sector capital into clean energy markets in NYS;
- (b) Be self-sustaining; and
- (c) Reduce greenhouse gas (“**GHG**”) emissions.

NYGB’s activities in pursuit of its goals are specifically aimed at motivating faster and more extensive implementation of clean energy investments within NYS, fostering greater energy choices, reducing environmental impacts and delivering more green energy benefits per public dollar spent for all New Yorkers.

Market barriers vary across different technologies and market participants, although a number of particular financing issues generally constrain growth across the clean energy sector, including lack of transaction standardization, deficient scale and volume, less understood project sponsors and counterparty credits, insufficient data on underlying loan and technology performance, and underdeveloped or nonexistent capital markets for clean energy projects. These barriers are a few of many that limit private sector capital investment, for both equity and debt, into otherwise attractive renewable energy and energy efficiency projects, resulting in gaps in the clean energy finance market.

To address existing barriers, NYGB follows several important operating principles:

- (a) NYGB enhances private sector market participation by providing financial products designed to scale markets for renewable energy and energy efficiency projects;
- (b) NYGB collaborates, rather than competes, with market participants that are already making progress in, or can demonstrate an ability to engage, the market but where that progress is constrained by the lack of available financing;
- (c) NYGB works with its clients and counterparties to leverage their capital and institutional capabilities – with a focus on “wholesale” markets (that is, not providing funding directly to consumers/homeowners);

<sup>2</sup> Created pursuant to the “Order Authorizing the Clean Energy Fund Framework”, issued and effective January 21, 2016, Cases 14-M-0094 et al. (the “**CEF Order**”).

- (d) NYGB generally structures and prices its financial products consistent with commercial approaches to credit quality and risk, earning a return on investment to preserve and grow its capital base; and
- (e) NYGB recycles its capital into new clean energy projects when income is generated and as investments mature or are realized, maximizing the impact of its capital across multiple deployments.

NYGB's long-term objective is to provide a bridge to a vibrant, sustainable, growing and efficient private sector clean energy financing market, across all types and sizes of projects. NYGB seeks to operate in areas where there is market interest, but limited access to capital.

More information about NYGB can be found at [www.greenbank.ny.gov](http://www.greenbank.ny.gov).

## 2 Eligibility Requirements

### 2.1 Eligible Technologies

NYGB participates in financing arrangements that support clean energy projects using proven technologies.<sup>3</sup> NYGB generally targets projects using the same technologies that drive carbon reduction and other public benefits contemplated under existing NYS clean energy policies.

[Illustrative Guidelines for Eligible Technologies](#) can be found on the RFP Resources page on NYGB's website, which includes a non-exhaustive list of technologies eligible for NYGB investment as examples. NYGB may support and/or participate in financing arrangements that include projects using technologies beyond the scope of the illustrative list so long as Proposers demonstrate a potential for GHG emissions reductions in NYS.<sup>4</sup>

NYGB encourages building owners, investors, and clean energy contractors/service providers targeting such properties, to contact NYGB early in the project development process (and before the submission of a Proposal) to ensure that projects fit squarely within NYGB's mandate. To this end, please email us at [InvestmentRFPs@greenbank.ny.gov](mailto:InvestmentRFPs@greenbank.ny.gov) (including "RFP No. 8" in the subject line).

### 2.2 Eligible Financing Arrangements & Acceptable Terms

NYGB will provide debt for up to the full capital cost of qualifying energy efficiency and/or renewable energy investments, offering this in the form of mezzanine debt to the project's ownership company (usually a special purpose vehicle ("SPV") that owns 100% of the equity in the building owner), or subordinated debt or a secondary loan secured by a lien directly on the property. NYGB understands that properties may already be secured under an existing lender's first mortgage and, if so, NYGB may obtain its security via a standardized and perfected pledge in the equity of the property at the sponsor or SPV level only.

NYGB considers various transaction sizes and NYGB participation levels. Given the 80% LTV test, NYGB will not specifically require owners to contribute cash equity for proposed new energy efficiency investments.

NYGB encourages, but does not require, financial participation and investment by one or more private sector financial parties. Participation and investment by a private sector financial entity may be structured in various ways. Proposals should provide clarity as to proposed capitalization structure and amounts and be specific as to the respective roles for, and relationship between, NYGB and all other parties.

Pricing for NYGB loans for any proposed project will reflect market pricing for comparable real estate transactions, including reflecting relative credit quality, risk and security structure. For NYGB loans, upfront and ongoing fees generally apply. Documentation will be a standard package, including a loan agreement with

<sup>3</sup> Commercially proven clean energy technologies are preferred, although NYGB may consider demonstrably commercial-ready or scalable technologies yet to be deployed in the market on a case-by-case basis.

<sup>4</sup> Subject to laws, regulations and administrative actions (e.g., Public Service Commission Orders) describing and/or related to the parameters for deployment of NYGB funds.

appropriate terms and conditions, as well as an equity pledge agreement securing NYGB's access to the owner's equity in the asset.

The principal conditions required for a project to attract NYGB financing include, without limitation:

- (a) A pay-back period ("**Payback**") of no longer than the useful life of the renewable energy or energy efficiency equipment being installed, taking into account the upfront costs and economic return of the proposed project;
- (b) A current (less than six months old) appraisal, completed by a New York Licensed Appraiser, confirming an LTV no greater than 80%;
- (c) A minimum projected debt service coverage ratio of 1.40-times, for the tenor of any NYGB financing;
- (d) Perfected security interest in favor of NYGB in the owner's equity in the underlying real estate asset;
- (e) A detailed implementation plan with all licenses, permits, studies, etc., issued (or approved as necessary) by the requisite authority; and
- (f) Copies of all equipment purchase orders and/or contracts from constructors and general contractors and/or installers for the scope of work of the project.

All Proposals will be evaluated according to the transaction criteria detailed in [Section 4 \(Proposal Evaluation\)](#).

All of NYGB's loans will be subject to documentation as described in [Attachment B - General Contractual Terms](#).

## 2.3 Eligible Proposers

Parties eligible to submit a Proposal under this RFP include: office, commercial and industrial, and multi-family real estate property owners interested in implementing renewable and/or energy efficiency initiatives at their properties; or clean energy developers, contractors, ESCOs, and/or equipment providers on behalf of a real estate property owner.

Proposers can apply on a standalone basis or as part of a team (a "**Proposal Team**"). A Proposal Team, for example, could consist of a clean energy developer, contractor or ESCO, lead equipment provider, and/or the property owner, all of whom should be identified, to the extent possible. Proposal Teams should designate a lead organization.

Proposers must have, or be partnered with entities having, directly relevant experience in the clean energy measures being submitted. The relevant clean energy/renewable technologies must be consistent with the [Illustrative Guidelines for Eligible Technologies](#), which can be found on the RFP Resources page on NYGB's website, as noted above.

## 3 Proposal Contents

Each Proposal should address **all** aspects of the categories described in the sub-sections below in a clear and concise manner, even if certain items may appear self-evident. NYGB employs a rigorous evaluation process to determine completeness of all Proposals against the requirements of this RFP, including eligibility and a Proposer's ability to articulate the fit of the proposed transaction, such that it falls within NYGB's mandate.

### 3.1 Proposal Checklist

Proposers should complete and submit [Attachment A - Proposal Checklist](#). Proposers should provide page

numbers where responses to each of the following sub-sections can be found. For illustrative examples to the items highlighted in this [Section 3](#), please refer to the [Transaction Profiles](#) posted on NYGB's website.

### **3.2 Summary**

Briefly describe the underlying or host real estate asset (location, size (square feet and or acreage), occupancy; current financing (if any); most recent appraised value and current LTV, etc.); eligible clean energy/renewable technologies to be employed; clean energy/energy efficiency/GHG-reducing attributes to be obtained; budget/capital investment, performance and economic metrics expected upon project completion; financing arrangement proposed including the parties involved; and the role of each party including the desired NYGB role. If a submission represents a Proposal Team, please clearly designate the lead organization and include signatures of an authorized officer of each party to the Proposal.

### **3.3 Financial Model & Contractual Arrangements**

A project financial model, which should include:

- (a) Sources and uses of funds;
- (b) Construction budget and schedule, by month, to completion/commercial operation;
- (c) Key financial, cost, operations and performance assumptions;
- (d) Long term financial projections of the real estate asset's cash flow (revenues down through debt service and distributions to equity) upon project completion, of a duration at least equal to the requested term of NYGB's loan;
- (e) Base case debt service coverage ratio ("DSCR") on any pre-existing senior debt;
- (f) Calculation of Payback, at the project level;
- (g) Return on investment ("ROI"), at the project level; and
- (h) Internal rate of return ("IRR"), at the project level.

Regarding contractual arrangements, proposers should clearly outline the status and elements of the primary agreements materially affecting the valuation and risk of the project, including:

- (a) Power purchase agreement ("PPA")/lease and/or other revenue agreements, royalty or other similar arrangements;
- (b) Engineering, procurement and construction ("EPC") contract(s);
- (c) Operation and maintenance ("O&M") contracts;
- (d) Technology warranties or other performance guarantees; and
- (e) Shared facilities and/or other key infrastructure, site control, key permits, etc.

### **3.4 Technical Considerations**

Provide a description of the eligible proven technologies involved in the proposed project, ensuring compliance with the [Illustrative Guidelines for Eligible Technologies](#), and covering:

- (a) Information about previous commercial applications of the technologies, and tangible performance thereof;

- (b) A description of the technical aspects of the proposed project, such as implementation plan and schedule, and any potential disturbances and/or interruptions to the underlying real estate asset's ongoing operations, system(s) integration, etc.;
- (c) Identification of the parties responsible for the key aspects of project design, engineering, and installation/construction, including, as well, the plan or contractual arrangements for O&M, quality control, and warranties; and
- (d) Identification of the parties that will bear technology performance risk and briefly describe the key terms of that risk assumption.

### **3.5 Expected Clean Energy Outcomes & Ongoing Tracking/Reporting Capability**

Provide a summary description of expected energy outcomes, together with the planned methodology and inputs used to quantify these expectations, including:

- (a) Expected reduction of GHG emissions;
- (b) Expected energy savings (in MWh and/or MMBtu); and/or
- (c) Expected installed capacity (in MW) of clean energy generation over an identified period.

Additionally, provide a description of the methodology that the Proposer (or designated third party) plans to employ to track, record, and monitor energy-related impacts (e.g., actual savings and/or generation), greenhouse gas impacts, actual customers served, actual financial products employed (e.g., PPAs, leases, loans, etc.) and clean energy measures supported. Please refer to [Section 5.2 \(Impact Metrics – Estimates, Reporting & Evaluation\)](#), for more information.

### **3.6 Qualifications & Experience; Officers & Staffing**

Briefly summarize the Proposer's institutional (or the Proposal Team's) qualifications and experience to undertake the implementation and financing of the project, ideally including summary deal lists. Also, as relevant, provide a summary of loss rates and loss experience on the Proposer's (or Proposal Team's) prior comparable projects.

### **3.7 Other Financial Support or Incentives & Sponsor Capital**

Identify and briefly describe any federal, NYSEERDA, state, utility-based or other incentive(s) that are expected to be included in the proposed financing structure. Also, clearly identify the amount of sponsor capital that is at risk, if any, (i.e., excluding identified grants and other private capital).

## **4 Proposal Evaluation**

Sponsors should ensure that, by covering all Proposal Contents ([Section 3](#)), they have addressed the matters outlined in each of the following sub-sections to this [Section 4](#) in reasonable detail.

### **4.1 Evaluation of Transaction Credit, Financial and Risk/Return Considerations**

Proposals are evaluated with focus on the following key areas:

- (a) Creditworthiness (counterparties, underlying technologies, EPC provider(s), O&M, servicer, etc. as applicable) of the project, and the terms and conditions of the financing expected to be provided by NYGB;

- (b) Payback of no longer than the useful life of the renewable energy or energy efficiency equipment being installed, taking into account the upfront costs and economic return of the proposed project. Faster Paybacks are expected to manifest themselves in an enhanced DSCR on any existing first mortgage debt;
- (c) An improved appraised LTV, expected to be no greater than 80%
- (d) Pricing competitiveness on a risk-adjusted basis, including projected Payback, ROI and IRR at the project level and specific return expectations for NYGB and other transaction participants;
- (e) Direct or indirect private market comparables (including pricing) as relates to counterparty credit and/or project risks;
- (f) Level of financial, performance and operational commitment of the Proposer(s) and any other parties (e.g., EPC, O&M, etc.) included in the proposed project; and
- (g) Qualifications and experience of Proposal Team and participants, including relevant experience and specific track record of all participants (including other capital providers) in the project(s).

## **4.2 Evaluation of Expected Clean Energy Outcomes**

NYGB will consider the magnitude of GHG emissions reduction, estimated energy savings and/or clean energy generation; and other clean energy benefits included in proposed project(s). In addition, NYGB will evaluate the strength of the plan pursuant to which the Proposer (or designated third-party) will track, record, and report performance data to NYGB.

## **4.3 Other Considerations**

Fit as it relates to NYGB's portfolio, including, without limitation, contribution to aggregate financial risks and returns, technological diversity and geographic distribution, as well as completed Attachment A - Proposal Checklist.

# **5 General Conditions**

## **5.1 Costs & Expenses**

Once a Proposal has been submitted to NYGB and evaluated as meeting the requirements of this RFP, the proposed transaction will move into NYGB's active pipeline. The borrower/investee and/or sponsor of each transaction in the active pipeline shall pay all reasonable costs and expenses of NYGB associated with the preparation, due diligence, development, and administration of all investment-related documentation (including the fees, disbursements and other charges of outside counsel to NYGB, independent engineers, background investigators, or other consultants, as described in the engagement letter to be executed between sponsor and NYGB), regardless of whether or not the proposed investment is closed. Borrower/investee will also pay third-party fees and expenses incurred by NYGB in connection with the administration, amendment, waiver, modification or enforcement of any of the investment-related documentation.

## **5.2 Impact Metrics – Estimates, Reporting & Evaluation**

NYGB collects and disseminates project and investment performance data (on an aggregated and anonymized basis) to facilitate improving investor confidence in addition to promoting standardization wherever possible to help drive down transaction costs. As NYGB finalizes and executes documentation for each investment, Proposers will be required to assist NYGB in its efforts to estimate the energy, environmental and economic impact the transaction will deliver in NYS throughout the tenor of the term. This will involve the collection and provision of data that supports estimated energy savings or installed capacity assumptions and agreed upon

provisions to evaluate the impact the transaction has had on the clean energy finance markets. Some examples of evaluation methodologies may include: technologies deployed, technology performance, site visits, scale of projects, financial performance, access to capital, costs of capital and project costs.

After the transaction is executed, Proposers will be required to deliver impact-related data (e.g., energy, environmental and economic development-related data) as determined by NYGB and the Proposer, to be delivered no less frequently than quarterly (and within 30 days following the end of each calendar quarter), for at least the duration of the agreement. An [Illustrative Quarterly Impact Reporting Template](#) of data relating to environmental impact can be found on the RFP Resources page on NYGB's website. Data submitted (aggregated and anonymized) will be included in requisite NYGB public or other reports and may be used otherwise in accordance with regulatory requirements to which NYGB is subject.

NYGB will also seek periodic information relating to additional impact data, such as job creation, use of contractors or other transaction counterparties based in New York, or impacts on New York's economy resulting through supply chain development.

### **5.3 Municipal Advisor Rules**

NYGB is aware of the amendments to Section 15B of the Securities Exchange Act of 1934 effectuated by Section 975 of Title IX of the Dodd-Frank Act, as well as SEC Release No. 34-70462 (September 20, 2013). In this regard, please note that NYGB considers discussions with potential Proposers, and the review of Proposals, to be arm's-length negotiations. NYGB recognizes that Proposers have financial and other interests that differ from NYGB; and as such, NYGB does not consider a fiduciary relationship to arise in this context. NYGB has engaged an independent registered municipal advisor ("**IRMA**") with the intent of relying (i.e., taking into careful consideration, along with any other information deemed relevant or appropriate) on that IRMA for advice related to any potential transactions (but not bound to follow that advice), and consequently allowing Proposers to qualify for the exemption provided by 17 CFR §240.15Ba1-1(d)(3)(vi) (the "**IRMA exemption**"). The name and contact information of the IRMA is listed on the NYGB website at [www.greenbank.ny.gov/IRMA](http://www.greenbank.ny.gov/IRMA), and the IRMA is available to respond to any questions a Proposer may have with respect to the IRMA's independence.

### **5.4 Proprietary Information**

Among NYGB's goals is the promotion of standardization of material contract terms and structures, and the collection of project performance data across NYGB transactions. NYGB is keenly aware that commercial markets and their incumbents value non-disclosure extremely highly to protect confidential transaction terms and other competitive information and NYGB remains highly sensitized to usual and customary confidentiality practices. Nevertheless, as a division of NYSERDA, certain State laws specifically apply to NYGB and it is recommended that careful consideration be given before confidential information is submitted to NYGB as part of any Proposal. Review should include whether it is critical for evaluating a Proposal, and whether general, non-confidential information may be adequate for review purposes.

New York's Freedom of Information Law, Public Officers Law, Article 6, provides for public access to information NYSERDA and its divisions possess. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYGB that the 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 out in 21 NYCRR Part 501. The confidentiality of any information submitted cannot be guaranteed.



## **5.5 Limitation**

This solicitation does not commit NYGB to agree to participate in any transaction, proceed to negotiate any terms or definitive documentation, pay any costs incurred in preparing a Proposal, or to procure or contract for services or supplies. NYGB reserves the right to accept or reject any or all Proposals received, to negotiate with all qualified parties, or to cancel in part or in its entirety this solicitation when it is in NYGB's best interest.

## **5.6 Disclosure Requirement**

The Proposer shall disclose, for any team member, any indictment for alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe the relevant circumstances. When 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 similar governing body. If an indictment or conviction comes to the attention of NYGB or NYSERDA after NYGB has indicated its interest to, or has agreed to enter into or participate in, any transaction NYGB may terminate the agreement and the Proposer may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if any team members have ever been disbarred or suspended by any agency of the United States Government or the NYS Department of Labor.

## **6 Attachments**

Attachment A: Proposal Checklist (Mandatory)

Attachment B: General Contractual Terms

**Private Cloud Hosting**  
Request for Proposal (RFP 3365)

Proposals Due: **11/8/2016** by 5:00 PM Eastern Time\*

The New York State Energy Research and Development Authority (NYSERDA) is soliciting proposals from qualified contractors to provide private cloud hosting services. From among the Proposals received, NYSEDA intends to select a qualified vendor to provide hosting services related to NYSEDA's Information Systems infrastructure (hardware and software systems). The term of the agreement will be 3 years with an option to renew for up to 2 additional years at NYSEDA's discretion. NYSEDA reserves the right to add or reduce time and/or funding to awarded contracts.

**Proposal Submission:** Electronic submission is preferred, but NYSEDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposals must be submitted in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility (PDF format only). Proposal PDFs should be searchable and should be created by direct conversion from MS Word or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the Proposer's entity name. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, located in the "Current Opportunities" section of NYSEDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are available on the website and as Attachment F to this RFP.

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

**Jill Baxter, RFP 3365**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

**All proposals must be received by NYSEDA by 5 pm on (11/8/2016).**

Technical questions concerning this RFP may be submitted to [glen.kaatz@nyserda.ny.gov](mailto:glen.kaatz@nyserda.ny.gov) with the subject line "RFP 3365 Question." For contractual questions concerning this RFP, contact Elsyda Sheldon at (518) 862-1090, ext. 3232 or [Elsyda.sheldon@nyserda.ny.gov](mailto:Elsyda.sheldon@nyserda.ny.gov).

No communication intended to influence this procurement is permitted except by contacting Glen Kaatz (Designated Contact) at (518) 862-1090, ext. 3203 or [glen.kaatz@nyserda.ny.gov](mailto:glen.kaatz@nyserda.ny.gov). Contacting anyone other than this Designated Contact (either directly by a Proposer or indirectly through a lobbyist or other person acting on a Proposer's behalf) in an attempt to influence the procurement: (1) may result in the Proposer being deemed a non-responsible offerer, and (2) may result in the Proposer not being awarded a contract.

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

## **1. BACKGROUND**

### **1.1 Corporate Background**

NYSERDA is a public benefit organization committed to identifying opportunities for reducing commercial and residential energy consumption, promoting the use of renewable energy sources, and protecting the environment. NYSERDA provides financial and technical assistance to help consumers, businesses and institutions assess and implement cost-saving energy efficiency measures.

Energy efficiency programs offered at NYSERDA also strive to provide affordable energy and a cleaner environment for all New Yorkers. This is accomplished by increasing public awareness of the multiple benefits of energy efficiency, by providing residential building performance services, and by making energy-efficient products more widely available to consumers.

### **1.2 Systems Background**

There are several types of front line systems currently supporting NYSERDA's project management, workflow and program reporting functions in production, development and quality assurance (QA) environments:

- The NYSERDA web site and custom web applications (usually Microsoft .NET) built and maintained by internal staff;
- NYSERDA's financial accounting and contract administration system (NEIS) is on a PeopleSoft/Oracle platform on top of a Microsoft SQL database;
- The data warehouse consisting of a clustered Microsoft SQL Server 2012 Enterprise, Microsoft SharePoint 2013, Informatica, Tableau and ESRI ArcGIS servers; and
- Microsoft Active Directory domain controllers, Kemp virtual load balancers and virtual firewall appliances.

These systems contain information about project details, contacts, location, energy production and savings, project and payment statuses, and incentive amounts and payments.

NYSERDA recently installed Salesforce to consolidate disparate CRM data for the organization and is currently undergoing a project to leverage Salesforce for program management efforts in an effort to reduce the number of external disparate systems. Salesforce is external to the private cloud but will be a source or target for integration with the private cloud systems.

### **1.3 Disaster Recovery Strategy**

NYSERDA's strategy with regard to disaster recovery (D/R) revolves around hosting critical systems at a private cloud facility with minimally tier 3 data centers (tier 4 preferred) that have the ability to do New York State qualified data replication.

## **2. PROJECT SCOPE AND REQUIREMENTS**

### **2.1 Objectives**

The goal of this project is to select a vendor at whose facilities NYSERDA can quickly and easily stand up all their existing systems to support NYSERDA initiatives across the entire spectrum of its technology stack.

NYSERDA expects this project to achieve the following objectives:

- Provide a cost effective hosting facility to support its technology infrastructure needs.

- Provide D/R meeting required recovery point objective (RPO) and recovery time objective (RTO) requirements.
- Provide a scalable environment to handle expected growth.
- Provide a flexible configuration to meet new and changing business requirements and programs.
- Provide 24-hour network operations center (NOC) support and monitoring for selected systems.
- Reduce the load on internal information technology (IT) staff by providing basic support and maintenance services for the hosted systems.

## 2.2 Scope of Work

The contract with NYSERDA is to provide hosting services, including, but not limited to, the following items:

1. Primary data center hosting of Windows Server 2008 R2, Windows Server 2012 R2 and Linux-based guests. All hosting (VM hosts and storage) must be at data centers in the continental United States. VMware platform is preferred but not required.
2. Provisions for migration from existing vendor/hardware to new vendor/hardware.
3. Alternate D/R datacenter hosting for the designated systems. All hosting (VM hosts and storage) must be at data centers in the continental United States. Support for an annual D/R test. VMware platform is preferred but not required.
4. Infrastructure and administrative support for current and future Linux and Windows server operating systems.
5. Ability to provide Microsoft licensing on a monthly basis or allow the use of NYS Enterprise Agreement licensing.
6. Networking – 10G to storage and between servers. Support for 4 public IP addresses. Support for multiple VLANs.
7. Security – Support for at least 2 different firewalls. NYSERDA takes a layered approach to security utilizing products from multiple vendors between the web, application and data tiers. Support for intrusion detection and prevention. Ability to block denial of service (DoS) attacks on public servers. The vendor should be able to support a 100Mb VPN over the internet to NYSERDA. The vendor should be able to provide operating system patching and anti-virus maintenance on a regular schedule as well as when needed.
8. Backups of all monitored servers up to twice daily with a retention period of 30 days. Snapshotting of virtual machine servers on request. A Veeam platform is preferred but not required.
9. 24-hour monitoring of servers, storage and network health. Vendor should be able to remediate any issues that arise. A dashboard should be available for NYSERDA staff to monitor services. Vendor must include service level agreements for availability, performance and remediation time. Monitoring should minimally consist of ping, WMI, http, network/disk/CPU utilization and application level performance/availability monitoring.
10. Support for a separate physical storage server to be used as a backup target for NYSERDA's Albany-based datacenter. This is for NYSERDA supplied server and disks.

11. Support for leaving the platform at the end of the contract if the contract isn't renewed. Where applicable, non-disclosure agreements (NDAs) will be signed between the service provider and the new provider.
12. Phone and email based support for account issues such as technical or billing problems. A dedicated account manager should be assigned to be a single point of contact for all issues.
13. Current server workloads presented below. Vendors should plan on a 100% increase in load over the course of the contract. This should be accounted for in the primary and D/R sites as well as in backups. Environment should be sized such that any 1 host or storage array can be taken offline for maintenance without requiring an outage.

**Table 1. High-Level Summary of Current Server Workloads**

<i>Application</i>	<i>Software</i>	<i>Server OS</i>	<i>D/R</i>	<i>RPO</i>	<i>RTO</i>	<i>CPU</i>	<i>RAM</i>	<i>Storage</i>
Web site	IIS	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	4	4	284G
E-commerce	IIS, .NET	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	4	4	165G
E-commerce	IIS, .NET	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	4	4	165G
Load balancers (4)	Kemp appliance	Other 2.6.x Linux (64-bit)	Yes	8hr	1hr	2	1	18G
Firewalls (3)	Confidential	Red Hat Enterprise Linux 6 (64-bit)	Yes	4hr	1hr	4	4	205G
PeopleSoft Chg		Microsoft Windows Server 2012 (64-bit)	Yes	8hr	1hr	2	16	205G
PeopleSoft Dev App		Microsoft Windows Server 2012 (64-bit)	Yes	8hr	1hr	2	12	515G
PeopleSoft Dev DB	MS SQL 2012 Ent	Microsoft Windows Server 2008 R2 (64-bit)	Yes	8hr	1hr	4	72	8TB
PeopleSoft Dev SES		Microsoft Windows Server 2008 R2 (64-bit)	Yes	8hr	1hr	2	16	415G
PeopleSoft Dev UPK		Microsoft Windows Server 2012 (64-bit)	Yes	8hr	1hr	4	4	105G
PeopleSoft Dev Web		Microsoft Windows Server 2012 (64-bit)	Yes	8hr	1hr	1	6	310G

<i>Application</i>	<i>Software</i>	<i>Server OS</i>	<i>D/R</i>	<i>RPO</i>	<i>RTO</i>	<i>CPU</i>	<i>RAM</i>	<i>Storage</i>
PeopleSoft Prod App (2)	Oracle Tuxedo	Microsoft Windows Server 2012 (64-bit)	Yes	15min	1hr	2	12	550G
PeopleSoft Prod DB	MS SQL 2012 Ent	Microsoft Windows Server 2012 (64-bit)	Yes	15min	1hr	4	72	2.4TB
PeopleSoft Prod SES		Microsoft Windows Server 2008 R2 (64-bit)	Yes	15min	1hr	2	16	456G
PeopleSoft Prod PUM		Other Linux (64-bit)	Yes	15min	1hr	2	6	215G
PeopleSoft Prod UPK		Microsoft Windows Server 2012 (64-bit)	Yes	15min	1hr	4	4	105G
PeopleSoft Prod Web (2)	Weblogic	Microsoft Windows Server 2012 (64-bit)	Yes	15min	1hr	1	6	350G
PeopleSoft XWEB (2)	Weblogic	Microsoft Windows Server 2012 (64-bit)	Yes	4hr	1hr	1	6	350G
PeopleSoft Prod Upg		Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	1	4	685G
PeopleSoft Prod Upg Wk		Microsoft Windows Server 2012 (64-bit)	Yes	4hr	1hr	1	6	305G
Prod Web App		Microsoft Windows Server 2012 (64-bit)	Yes	4hr	1hr	2	8	155G
T1PPR001	Print Server	Microsoft Windows Server 2008 R2 (64-bit)	No	-	-	1	4	65G
Prod Web Domain (ADFS)	Active Directory	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	2	2	82G
Prod GIS	ArcGIS	Microsoft Windows Server 2012 (64-bit)	Yes	4hr	1hr	2	8	88G
Prod DB Cluster (2 servers)	MS SQL 2012 Ent	Microsoft Windows Server 2008 R2 (64-bit)	Yes	15min	1hr	4	32	4.5TB
Dev DB	MS SQL 2012	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	4	32	1TB
Domain Controller	Active Directory	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	2	2	85G

<i>Application</i>	<i>Software</i>	<i>Server OS</i>	<i>D/R</i>	<i>RPO</i>	<i>RTO</i>	<i>CPU</i>	<i>RAM</i>	<i>Storage</i>
Data warehouse	Informatica	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	2	16	120G
Data warehouse	T3PNA001	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	1	2	82G
Data warehouse	SharePoint 2013	Microsoft Windows Server 2012 (64-bit)	Yes	4hr	1hr	4	16	220G
Data warehouse	Tableau (Prod)	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	8	32	155G
Data warehouse	Tableau (Dev)	Microsoft Windows Server 2008 R2 (64-bit)	Yes	4hr	1hr	8	32	155G

**Table 2. High-Level Summary of Data Center Working Storage**

<i>Description</i>	<i>Detail</i>	<i>Qty</i>
Fast Disk	10K SAS	19TB
Slow Disk	7200 SAS	7.1TB

**Table 3. Current Hosts**

<i>Description</i>	<i>Detail</i>	<i>Qty</i>	<i>RAM</i>	<i>CPU</i>
Primary Hosts	Dell R720	3	256G	2 x Intel Xeon E5-2690 @ 2.9GHz
D/R Hosts	Dell R720xd	2	128G	2 x Intel Xeon E5-2670 @ 2.6GHz

**Table 4. Current Software**

<i>Description</i>	<i>Detail</i>	<i>Quantity</i>
Antivirus	All Windows Servers	
Microsoft SQL 2012 Standard	2-core pack w/minimum 4 cores	2
Microsoft SQL 2012 Enterprise	2-core pack w/minimum 4 cores	6
Unlimited Microsoft Windows Server OS		

<i><b>Description</b></i>	<i><b>Detail</b></i>	<i><b>Quantity</b></i>
Microsoft SharePoint 2013	50 standard + 50 enterprise CALs	
Kemp load balancers		3

If a firm is selected, they may be requested to provide additional services to NYSERDA related to the scope that may not be listed above.

### **2.3 Engagement Requirements**

1. Proposers must demonstrate a proven track record of providing private cloud hosting services for government entities.
2. Proposers must be able to providing hosting and support services within the continental United States.
3. Proposers must be able to provide an environment that complies with NYS Cyber Security Policy P03-002.
4. Proposers must be able to meet a 30% minority or woman owned business entity (MWBE) and a 3% service disabled veteran owned business (SDVOB) subcontracting requirement for this contract. Any MWBE or SDVOB firms responding to this RFP that are seeking MWBE or SDVOB status must submit proof that the firm is certified as an MWBE by the Empire State Development Division of Minority and Women's Business Development or certified as an SDVOB by the Office of General Services Division of Service-Disabled Veterans' Business Development.
5. Upon issuance of a contract from NYSERDA, the selected firm will be required to show evidence of General Liability, Disability and Workers Compensation Insurances. In some instances, Professional Liability insurance may also be required.
6. The willingness to work with NYSERDA to minimize costs.
7. Per Article XII of the attached Sample Agreement, an Agreement may be terminated by NYSERDA at any time during the term of the Agreement with or without cause, upon ten (10) days prior written notice to the Contractor.
8. NYSERDA may require periodic external auditing and compliance with Statement on Standards for Attestation Engagements #16, Reporting on Controls at a Service Organization (SSAE16) or similar guidelines.
9. All hardware and software must be under support for the duration of the contract.
10. All services for a given month will be invoiced in accordance with Exhibit D of the attached Sample Agreement, "Prompt Payment Policy Statement".

### **3. PROPOSAL CONTENT AND FORMAT**

**A completed and signed Proposal Checklist (Attachment A) must be attached as the front cover of the proposal, and must contain an original signature. Proposals lacking a signed Proposal Checklist will be returned and will not be considered for award.**



**For the purposes of evaluation, proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the Proposer, the RFP number, and the page number. The proposal must be in the following format:**

- Section I: Executive Summary
- Section II: Technical Proposal
- Section III: Cost Proposal

**Cost information must not be included in the Technical Proposal section.**

### **3.1 Section I: Executive Summary**

Provide a brief description of the firm's overall qualifications and approach. Please limit to this section to 2 pages maximum.

### **3.2 Section II: Technical Proposal**

Following is a listing of the information required to be provided by the proposer. A technical proposal that does not provide all the information requested below may be subject to rejection. Provide the information in the same order in which it is requested. Your technical proposal must contain sufficient information to assure NYSERDA of its accuracy. Please limit to this section to 30 pages maximum.

1. Provide a separate numbered section corresponding with each item listed in Section 2.2 Scope of Work documenting the firm's qualifications in the respective area. If you are not seeking consideration for a particular item, include a numbered section and indicate that no response is being provided.
2. Provide a description of the firm's organization and the resumes of partners, principals, associates and other staff proposed to provide services to NYSERDA. Note any sub-consultants that your firm may be using to fulfill the scope of services.
3. Provide a description of the firm's experience providing similar services including recent relevant project experience to the public and private sector. Include the names, titles and phone numbers of at least three (3) references excluding NYSERDA employees for whom similar services have been provided and a summary of the services provided.
4. Provide a description of the firm's approach to providing the scope of services including the monitoring and management of the environment. Indicate any areas in which you believe the firm has special expertise.
5. Provide a description of the firm's approach to migrating from the existing hosting facilities, if applicable.
6. The proposer must agree to provide NYSERDA with pre- and post-audit access to documents, personnel and other information necessary to conduct audits on request during the term of the Contract and for six years thereafter.
7. The proposal submitted must contain a representation that the proposer is willing and ready to provide any services requested or required in a timely manner.
8. Disclose any potential conflicts of interest.
9. Note any special certifications relevant to this RFP that your firm may possess, and outline opportunities that consulting staff have to keep skills current.

### **3.3 Section III - Cost Proposal**

Following is a listing of the information required to be provided by the proposer. A cost proposal that does not provide all the information requested below may be subject to rejection. Provide the information in the same order in which it is requested. Your cost proposal must contain sufficient information to assure NYSERDA of its accuracy.

1. Provide billing rates for ad-hoc/hourly services provided such as Windows server patching, antivirus/malware remediation, network support, etc.
2. List all fixed price services offered and the corresponding pricing.
3. Indicate any reductions from normal billing rates charged other issuers or public entities in New York State.
4. Indicate any startup/one-time costs.
5. Indicate any monthly recurring charges.
6. Indicate incremental charges incurred with the addition of each new server or appliance.
7. Indicate any charges associated with providing external SSAE 16 audits.
8. Indicate any reductions due to missed service level agreements (SLAs). See Attachment G for proposed SLAs.
9. Indicate charges associated with migration to the platform.
10. Indicate charges associated with leaving the platform at the end of the contract.
11. A plan for meeting the MWBE/SDVOB requirement MUST be submitted with the proposal.

## 4. EVALUATION OF PROPOSALS

### 4.1 General Selection Process

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

The selection process will begin with the review and evaluation of each of the written proposals. The purpose of this evaluation process is twofold: (1) to examine the responses for compliance with this RFP; (2) to identify the complying firms that have the highest probability of satisfactorily performing the scope of services at a reasonable cost to NYSERDA. All written proposals will be reviewed and evaluated by a Scoring Committee selected by NYSERDA using the evaluation criteria below.

### 4.2 Interviews

NYSERDA reserves the right to determine whether interviews will be necessary and for which firms. The purpose of the interview is to further document the proposer's ability to provide the required services, and to impart to the Scoring Committee an understanding of how specific services will be furnished. The proposed lead principal, as well as all other key personnel proposed to provide the services must be present and participate in the interview. The interview will be evaluated on the basis of whether it substantiates the characteristics and attributes claimed by the proposer in its written response to this RFP and any other information requested by the Scoring Committee prior to the interview.

### 4.3 Evaluation Criteria

Criteria	Title	Scoring
1	<b>Demonstrated capacity to achieve the objectives described in Objectives (section 2.1)</b>	25
2	<b>Demonstrated capacity to perform the types of activities that have been described in the Scope of Work (section 2.2)</b>	30
3	<b>Adherence to requirements described in Engagement requirements (section 2.3)</b>	Pass/Fail
4	<b>Quality of work product. For those firms who have worked for NYSERDA previously, quality of work on those transactions will be considered.</b>	20
5	<b>Cost Proposal rates evaluated on reasonableness in comparison to other respondents.</b>	25

## 5. GENERAL CONDITIONS

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

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

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

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

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

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

**New York Executive Law Article 15-A** - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in Attachment C.

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

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

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

## **6. ATTACHMENTS**

Attachment A: Proposal Checklist

Attachment B: Disclosure of Prior Findings of Non- Responsibility

Attachment C: Cost Proposal Worksheet

Attachment D: Sample Agreement

Attachment E: Electronic Proposal Submission Instructions

Attachment F: Article 15-A (MWBE) Provisions for Solicitation Documents

Attachment G: Service Level Agreements



**Industrial Strategic Energy Management: Implementation Contractor (Energy Coach)  
Request for Proposal (RFP) 3352**

**Funding: Competitive**

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

**Proposals Due: December 19, 2016 by 5:00 PM Eastern Time\***

**Program Summary:** The New York State Energy Research and Development Authority (NYSERDA) requests proposals from contractors interested in providing program support services for the upcoming Industrial Strategic Energy Management (SEM) Pilot, including cohort training and market dissemination activities. NYSEDA is requesting proposals from contractors to serve as an Energy Coach for the three years of the Pilot to develop SEM training materials, guide participants through the SEM process and monthly cohort sessions, and provide technical support to assist participants in achieving key SEM milestones. NYSEDA anticipates awarding one contract through this RFP, although multiple awards may be made.

**Informational Meeting:** NYSEDA will hold one (1) non-mandatory, informational session for potential proposers as a question and answer session for the RFP. It is encouraged that questions be submitted in advance. Please visit RFP 3352 at <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx> for the date, time, instructions, and details. The questions and responses will be posted under this funding opportunity on NYSEDA's website at <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>.

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

If mailing or hand-delivering, proposers must submit two (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with one (1) electronic copy (CD or DVD) of the proposal in readily accessible formats (Word, Excel, PDF), following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Jillina Baxter, RFP 3352  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

No communication intended to influence this procurement is permitted except by contacting Kathleen Dooley (Designated Contact) at (518) 862-1090, ext. 3475, or [Kathleen.Dooley@nyserda.ny.gov](mailto:Kathleen.Dooley@nyserda.ny.gov); or Megan Fisher at (212) 971-5342 ext. 3627 or [Megan.Fisher@nyserda.ny.gov](mailto:Megan.Fisher@nyserda.ny.gov) for technical questions. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or [Nancy.Marucci@nyserda.ny.gov](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.

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

## I. INTRODUCTION

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The New York State Energy Research and Development Authority (NYSERDA) is a public benefit corporation established by the New York State Legislature in 1975. NYSEDA's principal mission is to use innovation and technology to solve some of New York's most difficult energy and environmental problems in ways that improve the State's economy. In 2016, the New York State Public Service Commission (PSC) approved the Clean Energy Fund (CEF) which is designed to deliver on New York State's commitment to reduce ratepayer collections, drive economic development, and accelerate the use of clean energy and energy innovation. The Industrial Strategic Energy Management (SEM) Pilot is part of NYSEDA's CEF portfolio.

NYSERDA is seeking support to develop and administer the SEM pilot including cohort trainings and materials, technical and program support services to cohort participants, and assistance with the market dissemination activities to support the adoption of SEM in New York's industrial sector. It is anticipated that there will be two (2) SEM cohorts. Each cohort will consist of no more than eleven industrial facilities from large and medium sized industrial sites<sup>1</sup>, and may include key industries such as: chemicals and pharmaceuticals, printing and publishing, automotive, food processing, and forest products. Each cohort training plan will include roughly ten (10) training sessions over the course of twelve (12) months. Visit PON 3352 at <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx> for additional information on the SEM cohorts. The goal of this pilot is to provide cohort participants the knowledge and tools to adopt SEM at their facilities long-term; and develop market dissemination materials and activities for SEM to promote uptake and transformation in the New York State industrial market.

## II. DEFINITIONS

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**Participant:** The industrial facility selected to participate in an Industrial SEM cohort. Participants may partner with a consultant who may also participate in the trainings with them and support the implementation of SEM at the applicant's facility.

**Energy Champion:** The person responsible for attending the cohort sessions, receiving training from the *Energy Coach*, sharing information with the *Energy Team*, and leading the SEM effort at their facility.

**Energy Coach:** The firm selected by NYSEDA through this RFP to provide SEM training at each cohort session, technical assistance to participants throughout the program, and assist with market dissemination efforts. It is expected that the Energy Coach will consist of a qualified team to provide support for all the areas outlined in this RFP.

**Energy Team:** The group of individuals from multiple functions within the manufacturing organization who have knowledge about existing systems (production, capital project planning, facilities and maintenance, financial, etc.) and management support to participate in this effort. An *Energy Team* usually includes the *Energy Champion*, an executive sponsor, and key staff within the facility.

## III. PROGRAM REQUIREMENTS – SCOPE OF SERVICES

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### A. Services Requested

NYSERDA seeks to select an Energy Coach to support the execution of the Industrial Strategic Energy Management Pilot and subsequent market dissemination activities as outlined below. NYSEDA anticipates awarding one contract through this RFP, although multiple awards may be made. Further detail about specific tasks and sub-tasks can be found in *Section B: Statement of Work* below.

The SEM Pilot will consist of two (2) 12-month-long cohorts, each comprised of approximately eleven (11) industrial facilities from across the state. The cohorts are anticipated to occur sequentially, but may overlap slightly to accommodate market demand or other circumstances. It is expected that there will be at least ten (10)

<sup>1</sup> Large sites are defined as greater than \$1,000,000 total annual energy (all fuels) spend and medium sites are sites with \$500,000 to \$1,000,000 total annual energy spend.



training sessions delivered by the Energy Coach over twelve (12) months, and the trainings may be a combination of group, in-person, and web-based events. Market dissemination activities are expected to be completed no more than one year after the conclusion of the second cohort. The term of the resulting agreement will be for three (3) years to coincide with the term of the Pilot which is expected to be three years to encompass the two one-year long cohorts, plus one additional year of market dissemination activities.

### ***Cohort Training***

The Energy Coach will be responsible for the development, preparation, and delivery of the training sessions. This includes developing the training schedule for the cohorts, planning the curriculum and identifying supporting tools and materials, and conducting the training sessions. To the extent possible, it is requested that existing and publically available tools are used rather than proprietary materials and that all materials developed under the resulting agreement will be the property of NYSERDA. The training sessions may incorporate lectures, cases/readings, discussions, and facility tours in which cohort participants learn and begin to apply core concepts of SEM. In addition, it is expected that the Energy Coach will deliver training content and materials to NYSERDA four weeks prior to each cohort training session for review and approval.

Working with NYSERDA, the Energy Coach will develop and administer a means for participants to provide feedback on training content and delivery at the conclusion of each training session. Feedback will be incorporated, as appropriate, into subsequent sessions.

### ***Technical and Program Support to Cohort Participants***

The Energy Coach will provide one-on-one coaching to assist and empower cohort participants, as needed, to successfully complete the training session assignments and to apply SEM concepts and frameworks in their facilities. An estimated two (2) sessions per participant is anticipated and may take place as on-site facility visits, in-person meetings or conference call work sessions.

In addition, the Energy Coach will provide post-cohort support to participants for one year following the cohort trainings, for activities such as energy model maintenance, project implementation support, metric tracking support, and quarterly progress calls to ensure the facility continues to engage in SEM.

### ***Market Dissemination***

The Energy Coach will assist NYSERDA in market dissemination efforts. Data gathered from the cohorts will be used to develop content for educational and marketing tools and materials that NYSERDA will use to support wider SEM market transformation activities. Data gathering and analysis may begin during the first cohort as it becomes available. Potential market dissemination materials and activities are outlined in *Section B: Statement of Work* below.

### ***Project Management***

The Energy Coach will provide monthly project status reports to NYSERDA detailing progress with SEM training and implementation, participant attendance and engagement, completion of training assignments, and progress toward the ultimate goal to establish and implement a SEM system at each participant facility. Additionally, the Energy Coach will coordinate with NYSERDA on SEM activities through weekly conference calls.

## **B. Proposer Eligibility and Qualifications**

NYSERDA anticipates awarding one contract through this RFP, although multiple awards may be made. Proposers may be a single company or team of companies but must, in their response, clearly identify the key employees, subcontractors, or relevant affiliates of all entities who are proposed to fulfill the requirements of this RFP. The successful proposer must demonstrate that they have a clear understanding of SEM and experience in providing trainings to industrial manufacturers. Proposers must demonstrate the ability to provide, at a minimum, all services as outlined in this RFP, including the ability to be flexible and responsive to changing program needs; and any previous experience in the successful management of pilot programs (on time and within budget).

### ***Experienced Team***

Proposers must clearly demonstrate their ability to provide the necessary technical expertise and programmatic support described in this RFP. The selected contractor will provide NYSERDA with a dedicated

team of high-level professionals who will support the SEM program from design through delivery and post-cohort activities. Assigned personnel must demonstrate relevant content knowledge, including knowledge of the industrial sector in New York State and relevant market segments, practical experience, training capabilities, experience developing market dissemination materials and activities.

***Dedicated Personnel***

Proposers shall identify one or two qualified team members who will be responsible for leading the initiative outlined in this RFP including all of the trainings, interfacing with the cohort participants, and developing market dissemination materials and activities. The identified personnel must have previous experience in these areas that resulted in concrete, measurable success for participants and their organizations.

***Ability to Travel***

Assigned personnel must be able to travel throughout New York State as necessary to deliver training and coaching to cohort participants.

**C. NYSERDA Responsibility**

NYSERDA will maintain overall management and control of the SEM Pilot, and the NYSERDA Project Manager will be responsible for overseeing and managing all tasks undertaken by the selected contractor. The major responsibilities of NYSERDA are to:

- Market SEM cohort participation opportunities to industrial facilities through existing outreach contractors;
- Screen and select SEM cohort participants;
- Assist the Energy Coach in reviewing cohort training deliverables;
- Assist the Energy Coach in scheduling the cohort trainings;
- Monitor the progress of the Energy Coach through ongoing telephone contact and review of project status reports for the purpose of meeting customer needs, identifying problems, and initiating corrective action;
- Ensure adherence to NYSERDA's established policies and procedures; and
- Promptly process properly documented project payment requests and Energy Coach invoices.

**D. Available Funds, Limitations, and Contracting**

The initial contract will be for a three-year period, with two, one-year options to renew at NYSERDA's discretion. Proposals should document a three-year statement of work and budget based on services requested. Contract renewal will be based on performance and need. Confidential and proprietary customer information shared with the Energy Coach while providing services is to be kept confidential by the selected Energy Coach. Such information shall not be shared with other parties or used by the Energy Coach for any purpose outside of this contract.

NYSERDA reserves the right to:

- Terminate at any time due to under performance;
- Incorporate necessary program changes by modifying or adding to the services required;
- Tailor the services as needed within the scope of the contract; and
- Add necessary, additional funds and time to the contract at any time.

NYSERDA anticipates award of the contract within eight weeks of the proposal due date, after which NYSERDA and the selected contractor will work together to negotiate the final statement of work, budget, and timeframes. NYSERDA will negotiate the contract for services in fulfillment of the needs of this RFP on the basis of demonstrated competence and qualifications. Contract negotiations may include the selected proposer's fee schedules to ensure work is accomplished at fair and reasonable rates. The contractor shall demonstrate the ability to successfully begin implementation of the training program within 60 days of being awarded the contract.

**IV. PROPOSAL REQUIREMENTS**

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Proposers must submit their proposal through either the electronic submission process described on the front of this RFP and in Attachment F or submit two (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with one (1) electronic copy (CD or DVD) of the proposal in readily accessible formats (Word, Excel, PDF), to the address on the front of this Request for Proposals.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Suggested page limits for each section are provided below in parentheses. Proposals that grossly exceed the page limits or fail to follow the format guidelines may be rejected as nonresponsive. Proposals should concisely present the information needed to fully address the evaluation criteria (see Section V). Each page of the proposal should state the name of the proposer, the RFP number, and the page number. If you believe proprietary information must be submitted to present an adequate proposal, please contact the Designated Contact listed at the beginning of this RFP, indicate as such on the Proposal Checklist, and comply with the Section VI instructions for submitting proprietary material.

The electronic version of the proposal should contain the following files:

1. The entire proposal in electronic format, preferably in a single Word or PDF file, although multiple files are acceptable if necessary;
2. Attachment C as a stand-alone Excel file;
3. The proposed statement of work as a stand-alone Word file; and
4. The proposed budget as a stand-alone Excel file.

The proposal must be in the following format and should present the items in the sequence indicated below.

### **1. Proposal Checklist**

A completed Proposal Checklist (Attachment A), signed by an individual who is authorized to commit the organization, must be attached as the front cover of your proposal. Late proposals and proposals lacking the completed and signed Proposal Checklist will be returned. Faxed or e-mailed copies will not be accepted. Note the following:

- NYSERDA will enter into a contract with successful proposer(s) using the attached Sample Agreement (Attachment G). Indicate whether you accept the standard terms and conditions as contained in the attached Sample Agreement. If you do not accept the standard terms and conditions, provide alternate terms with justification based on the risk and benefit to New York State. NYSERDA reserves the right to consider only exceptions to terms that are specifically included with the proposal. Any negotiation of terms will be at NYSERDA's sole discretion. Note: Attachment G does not need to be completed; it is provided only for review per the discussion above.
- Do not leave any blanks. If a specific question is not applicable, indicate N/A.
- Be sure the individual signing the Proposal Checklist is authorized to commit the proposer's organization to the proposal as submitted.

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

In compliance with §139-j and §139-k of the State Finance Law (see Section VI, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form (Attachment B). Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

### **3. Contract Pricing Proposal Form**

A Contract Pricing Proposal Form (CPPF), with associated instructions, is provided as Attachment C. Each proposal must include a completed CPPF. The net cost to NYSERDA is one of the evaluation criteria and will be closely considered. If other entities such as subcontractors or other teaming entities will receive NYSERDA funding, they must also complete a CPPF form.

### **4. Proposal Narrative**

The Proposal Narrative includes the core details of the proposal. The Proposal Narrative should include the following sections:

#### ***Section A: Executive Summary (2-page limit)***

Proposers must summarize and exhibit a thorough understanding of this RFP and the general approach to fulfilling and supporting the services requested. Proposers must summarize why NYSERDA should select the

proposer's firm by including a list or summary of specific services they can provide, as well as any acknowledgements or accolades recently received.

In addition, proposers must identify all collaborating entities participating in the proposal, including a summary of any co-proposers and the services they provide. Proposers should provide a brief summary of key information about their organization, and all other organizations that may be part of the proposer's team. Proposers may subcontract with appropriate individuals or firms and all parties must be identified in Letters of Commitment in the proposal. Proposals that include teaming arrangements must designate one party as the prime contractor who will be responsible for the administration of the contract.

Lastly, if any firm is not based in New York State, discuss the mechanism which will guarantee its ability to deliver services in New York State in a cost-effective manner.

**Section B: Statement of Work (15-page limit)**

The Statement of Work (SOW) is the primary contractual document that outlines work activities and specifies deliverables. It delineates each step required to accomplish the project objectives. Therefore, each action needs to be identified, indicating who will perform it, how it will be performed and its intended result. At the end of each task description, specific task deliverable(s) must be listed.

The SOW should highlight how the proposer will deliver services using their own creative approach. Proposers will be selected based on their proposed ideas for both the cohort training and market dissemination of this pilot. If a proposal is selected, NYSERDA may choose to move forward with some tasks but not others, based on in-house capabilities, timing, and available budget. Because of this, proposals should be constructed as a menu of tasks, with clearly assigned budget estimates for each task.

The Statement of Work must:

- Be a stand-alone document identifying assumptions and detailed descriptions of tasks. In the electronic version, please include the SOW as a stand-alone file in Word format.
- Be clear and specific: concentrate on "how" and not "why." Use "active voice" sentence structure to make clear who is responsible for specific actions. Use the following phrase to start the description of every task and subtask: "The Contractor shall..."
  - Include information regarding responsible staff for each task, including any subcontractors.
  - Include a timeline and connect to the requested work plan.
  - Include a detailed budget that shows hours and dollars allocated to each task of the scope of work. Budget Worksheet Template (Attachment E) or equivalent must be completed.
  - Include the tasks below; additional tasks to enhance the training experience and/or market dissemination efforts may be added.
  - Follow the format outlined in Attachment D – Statement of Work Template

Tasks that should be included in the SOW are:

1. Cohort Training
  - a. This includes all activities related to pre-training activities such as developing the schedule, planning the curriculum, and coordinating logistics for both cohorts; and
  - b. Providing the training to the cohort participants. Make sure to include the format (e.g. web-based, in-person, etc.), required participants for each session (e.g. Energy Champion, Energy Team, Executive Sponsor, etc.), training objective, activities, required documentation from participants, and deliverables.
2. Technical Coaching and Support
  - a. This includes assistance during the cohort for site visits to participant facilities, coaching and support to help participants complete deliverables following training sessions, and project implementation support; and
  - b. Post-cohort participant support including activities such as model maintenance support, project implementation support, metric tracking support, and progress calls with NYSERDA and the participant for up to one year following the cohort.
3. Market Dissemination
  - a. This includes development of lessons learned and best practices to be included in market materials;

- b. Development of case studies on participants in the NYSERDA cohorts;
  - c. Preparation of educational SEM resources including SEM webinars and online training modules, a SEM workbook of readings and activities, online templates and/or tools for SEM activities and performance tracking, etc.; and
  - d. Other options to increase knowledge, awareness, and adoption of SEM in the market
4. Project Management
- a. This includes regular calls with the NYSERDA project manager and
  - b. Monthly reporting on SOW task progress and completion

**Section C: Proposer's Qualifications and Past Experience (4-page limit + Appendices)**

A description of the proposer's experience, skills, and abilities relative to the tasks in Section III: Program Requirements above should be provided here. In addition, each proposer should include a description of past or current SEM Energy Coach services provided to the industrial market. These services should have been provided within the past five (5) years and should demonstrate the firm's experience in servicing the targeted customer base. The descriptions should specify the level of involvement of the proposing firm and the results of the SEM intervention. Include customer contact names and phone numbers for these projects, and a list of the key personnel and their respective involvement on the project. In addition to highlighting technical qualifications, the proposer should also demonstrate experience developing market dissemination materials and activities to promote market uptake and transformation.

Appendices to this section may include: examples of SEM program outlines, materials, management plans, and data tracking or reporting conducted for similar programs; and case studies, tool development, and other educational materials for market dissemination.

**Section D: Staffing Plan and Experience of Key Personnel (2-page limit + Appendices)**

Identify the main point of contact for NYSERDA and key participants in the project. Describe their individual expertise and explain how each will contribute to a successful SEM pilot. Describe the team's management and technical expertise and relevant experience with SEM, industrial energy efficiency, training, technical support, program management, data collection and analysis, and market dissemination. List the tasks to be performed by key participants. Please include an organization chart showing the relationship among all personnel and subcontractors.

Resumes of key personnel highlighting relevant experience should be included as appendices. **Individual resumes shall not exceed two (2) pages.** All individuals involved in the proposal must be free of financial interest in any product or service which may be, or appear to be, in conflict with NYSERDA's services to its customers. If any affiliations exist, please describe them and verify that they do not conflict with the objectivity provided to NYSERDA and its customers.

**Section E: Budget**

In addition to the CPPF, please provide a budget table as a stand-alone file in Excel format, using the Budget Worksheet Template (Attachment E), that includes the anticipated number of hours each role will spend on each task and an hourly rate of pay.

Award recipients will receive funds on a reimbursement basis based on costs incurred, as evidenced by submitted invoices, in accordance with a mutually agreed-upon Statement of Work. No reimbursement will be provided for costs incurred prior to the contract execution date.

Attach supporting documentation to support indirect cost (overhead) rate(s) included in your proposal as follows:

- Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projections; based on federal government or other independently-approved rates).
- If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
- If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.

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

**Section F: Schedule/Work Plan**

Prepare a schedule for conducting the work proposed in the SOW in a Gantt chart or similar format in terms of weeks and months. Proposers should allow time for correspondence with and approval of tasks by NYSERDA. Note that hours allocated in the work schedule must be consistent with those in the budget and Statement of Work.

**5. Letters of Commitment**

If proposers are relying on any other organization to do some of the work or provide services or resources, they should include a letter from that organization describing its planned participation. Absence of letters of commitment may be interpreted as meaning that the proposer does not have support from the subject parties.

**6. Appendices**

Include any resumes, company qualifications, or ancillary information which is deemed necessary to support your proposal.

**V. PROPOSAL EVALUATION**

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Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to participate in an interview.

**Services Requested**

- Demonstrates an understanding of SEM and the NY industrial sector
- Demonstrates an understanding of the range of services requested, desired program results, ability to successfully deliver
- Provides creative or innovative training, coaching and/or market dissemination ideas
- Demonstrates understanding of NYSERDA's data tracking needs and communication requirements

**Proposer Qualifications**

- Demonstrates organizational experience in developing and conducting SEM trainings and engaging the industrial sector
- Demonstrates team members have relevant experience in SEM, industrial energy efficiency, training, technical support, program management, data collection and analysis, and/or market dissemination, and are organized in a manner that will contribute to a successful pilot
- Provides one or two dedicated resource(s) with a range of experience qualifying him/her/them to lead the initiative

**Schedule/Work Plan**

- Demonstrates the ability to address and deliver NYSERDA program needs on an appropriate and realistic timeline

**Proposal Value**

- Allocates an appropriate proportion of project cost dedicated to program completion (versus travel, equipment, and administration)
- Provides experienced staff performing appropriate tasks at industry comparable rates
- Includes innovative processes, structure, or methods to reduce program implementation and operation costs
- Demonstrates the level of service provided is in line with the proposal cost

## VI. GENERAL CONSIDERATIONS

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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 <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> .

**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 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.

**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 (Mandatory)
- Attachment B: Disclosure of Prior Findings of Non-Responsibility (Mandatory)
- Attachment C: Contract Pricing Proposal Form (Mandatory)
- Attachment D: Statement of Work Template
- Attachment E: Budget Worksheet Template
- Attachment F: Instructions for Electronic Proposal Submission
- Attachment G: Sample Agreement

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**Residential Financing and Income Verification Services  
Request for Proposal (RFP) 3240**

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

Proposals Due: by November 15, 2016, at 5:00 PM Eastern Time*
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The New York State Energy Research and Development Authority (“NYSERDA”) is seeking proposals from qualified financing companies (“Originator”) to provide the following services for residential energy efficiency and renewable energy system improvements: (1) loan origination and underwriting services to New York State residents for fixed rate loans between \$1,500 and \$25,000 for terms of 5-, 10- or 15-years; (2) income eligibility verification for NYSERDA financing and incentive applications; and (3) payment of loan funds and incentive funds to participating contractors, to be reimbursed by NYSERDA. The contract term will be for three years with two (1) year extensions at NYSERDA’s option. Additional time and funding may be added at NYSERDA’s discretion.

**Proposal Submission: All proposals must be received by NYSERDA by 5:00 P.M, EST, on November 15, 2016.** Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP’s webpage, which is located in the “Current Opportunities” section of NYSERDA’s website (<http://www.nysesda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are provided as Attachment C to this RFP.

If mailing or hand-delivering, proposers must submit eight (8) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Jillina Baxter, RFP 3240  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Kevin Hunt at (518) 862-1090, ext. 3259 or [kevin.hunt@nysesda.ny.gov](mailto:kevin.hunt@nysesda.ny.gov) (**Designated Contact**) if you have technical questions. If you have contractual questions concerning this solicitation, contact Elsyda Sheldon at (518) 862-1090, ext. 3232 or [elsyda.sheldon@nysesda.ny.gov](mailto:elsyda.sheldon@nysesda.ny.gov).

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

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

## I. INTRODUCTION

NYSERDA is a public benefit corporation established pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York. NYSERDA's principal mission is to develop innovative solutions to some of the State's most difficult energy and environmental problems.

NYSERDA is charged with implementing the Green Jobs Green New York (GJGNY) Act of 2009 and the Power NY Act of 2011 which authorized NYSERDA to offer loans to New York State residents for residential energy efficiency technologies and net metered technologies, including solar photovoltaic (PV) installations, on existing buildings.

NYSERDA is seeking proposals from qualified Originators to provide the following services for residential energy efficiency and renewable energy system improvements: (1) loan origination and underwriting services to New York State residents for fixed rate loans between \$1,500 and \$25,000 for terms of 5, 10 or 15 years; (2) income eligibility verification for NYSERDA financing and incentive applications; and (3) payment of loan funds and incentive funds to participating contractors, to be reimbursed by NYSERDA.

### Definitions:

**Clean Energy Fund ("CEF"):** The CEF supports the State's commitment requiring 50% of New York State's electricity to be sourced from renewable sources by 2030. It is designed to reduce the cost of clean energy by accelerating the adoption of energy efficiency to reduce load while increasing renewable energy demand.

**Community-Based Organization ("CBO"):** An organization which may or may not be under contract to NYSERDA to provide outreach and assistance services within their community to households interested in undertaking energy efficiency or renewable energy improvements. In particular, CBOs assist LMI households with loan and incentive applications.

**Contractor ("Contractor"):** A qualified contractor participating in NYSERDA's residential energy efficiency or renewable energy programs.

**Household Income:** Total income of residents within a home that are over the age of 18 and are not full-time students.

**Implementation Contractor ("Implementation Contractor"):** The program implementer for NYSERDA's residential programs. The Implementation Contractor reviews Contractor work scopes, and informs the Originator that a project is completed and the loan and/or incentive can be funded, among other services.

**Loan Servicer ("Loan Servicer"):** A company that accepts and processes principal and interest payments, and monitors loans on behalf of NYSERDA.

**Low-to Moderate-Income Household ("LMI"):** Households with income at or below 80% of the State or Area Median Income, whichever is higher. Various income thresholds within the LMI sector may be used for different types and levels of incentives. Income thresholds are subject to change depending on the needs of individual programs.

**Residential Programs:** NYSERDA's energy efficiency and renewable energy system programs targeting one-to-four family existing homes. Income-eligible customers of some programs may receive reduced interest rates and additional incentives to help offset the cost of the work.

## II. RESIDENTIAL FINANCING OVERVIEW

NYSERDA provides New York State residents with access to two loan products to assist with the installation of energy efficiency or renewable energy projects: (1) On-Bill Recovery (OBR) loan; and, (2) Smart Energy loan

(SEL). The selected Originator will be responsible for originating and funding both loan products on NYSERDA's behalf, with NYSERDA providing reimbursement of the loan amount. The OBR and SEL loan amounts range from \$1,500 to \$25,000 for a terms of 5, 10 or 15 years.

### **On-Bill Recovery loan**

- The OBR loan is associated with a specific electric or gas utility meter, with loan repayment assessed on the borrower's utility bill;
- The homeowner must be a customer of one of the following utilities: National Grid (upstate customers only), Consolidated Edison, PSEG Long Island, Orange & Rockland, New York State Electric and Gas, or Rochester Gas & Electric;
- The loan is unsecured; however, a Program Declaration is recorded in the city/county book of deeds, informing prospective purchasers and interested parties that there is an on -bill recovery loan outstanding that unless satisfied prior to the sale or transfer of the property will become the obligation of the new utility account holder;
- A last owner's search is required, which is initiated by the Originator and accomplished by a title company under contract to NYSERDA;
- The outstanding debt may be assumed by the new 1) property owner upon transfer of the property; or 2) tenant in instances when rental units undergo eligible work and the owner seeks GJGNY financing; and
- This product has a cost effectiveness requirement in that the monthly loan payment may not exceed 1/12<sup>th</sup> of the estimated average annual energy cost savings from the improvements over the term of the loan.

### **Smart Energy Loan**

- Monthly payments are made to NYSERDA's Loan Servicer. Payment may be made by direct billing or automatic withdrawal;
- The loan is unsecured; and
- The borrower remains responsible for the balance of the loan if the home is sold or the property is transferred to a new owner.

### **Underwriting Criteria**

The selected Originator will underwrite OBR loans and SELs using the current criteria found in Attachment D, Underwriting Guidelines, which is subject to change at NYSERDA's discretion.

Loan approvals will in part depend upon approval of a project scope by the relevant NYSERDA program. The Originator will need to work through NYSERDA program processing systems to verify project status as it relates to loan application approval and payment. The Originator will be responsible for notifying the applicant and updating NYSERDA's data systems of changes in applications status. After the Originator is notified of project completion, the Originator will be responsible for disbursing the loan payment to the Contractor. NYSERDA will then reimburse the Originator for those payments.

### **Interest Rates**

The interest rate charged on loans, per the table below, is dependent upon project type (energy efficiency and/or renewable energy project), income level and credit.

Project Type	Energy Efficiency <sup>1</sup>			Renewable Energy <sup>1</sup> / Combined <sup>2</sup>		
Income Level <sup>3</sup>	Smart Energy - Pay by mail	Smart Energy - Auto Pay	On-Bill Recovery	Smart Energy - Pay by mail	Smart Energy - Auto Pay	On-Bill Recovery
Less than or equal to 80%	3.99%	3.49%	3.49%	3.99%	3.49%	3.49%
Greater than 80% up to 120%	5.49%	4.99%	4.99%	5.49%	4.99%	4.99%
Greater than 120% <sup>4</sup>	Standard Criteria=7.49 Extended Criteria=6.49	Standard Criteria=6.99 Extended Criteria=5.99	Standard Criteria=6.99 Extended Criteria=5.99	Standard Criteria=8.49 Extended Criteria=6.49	Standard Criteria=7.99 Extended Criteria=5.99	Standard Criteria=7.99 Extended Criteria=5.99

- (1) NYSERDA offers several energy efficiency and renewable energy programs that offer GJGNY financing to participants.
- (2) Energy efficiency and renewable energy projects that are in combination with one another.
- (3) Household income is used to determine the interest rate for OBR loans and SELs, and is based on the percentage of State or area (county) median income, whichever is higher, for the household size. NYSERDA will provide relevant median income information to Originator as it is updated.
- (4) Refer to Attachment D for a summary of Standard and Extended underwriting criteria and details of underwriting and documentation requirements.

**Loan Volume**

Attachment E illustrates overall GJGNY loan growth in both the number of loans and dollar volume, as well as loan growth within each residential program. Data is provided since program inception through March 31, 2016. To summarize, 14,068 loans have closed representing approximately \$165 million in total loans, with an average loan of \$11,728. This has resulted in a compound growth rate of 72% year-over-year. While loan volume has rapidly increased since 2013, future loan volume growth may change as alternative financing options make their way into the New York State market, and as NYSERDA effectuates a tiered interest rate structure for the LMI/non-LMI sectors.

**Income Verification Services**

The Originator will be responsible for providing income verification services for certain Residential Programs that offer income-eligible incentives. As the LMI programs evolve under the CEF, the number and size of programs making use of income verification services may change. In addition, NYSERDA may issue solicitations for program implementation services which may include income verification services, in which case income verification services provided in a contract awarded through this solicitation may be reduced or terminated.

The Originator will verify income to determine eligibility for certain incentives and interest rates, notify the applicant, Contractor and, if applicable, the CBO, of eligibility, and document eligibility in NYSERDA program data systems. Depending on the residential program, the Originator may also be required to pay the NYSERDA incentive to the Contractor upon notice of project completion, and will be reimbursed by NYSERDA for that payment.

**Incentive Application and Payment Volume**

The table below shows the number of applications received since 2010 through March 31, 2016, for income verification, as well as the incentives paid by the Originator and reimbursed by NYSERDA.

Total Incentive Applications Received	27,507
Total Incentive Applications Approved	15,551
Number of Total Incentives Paid	10,188
Dollar Volume, Incentives Paid	\$35,666,952

**Coordination with Contractors and CBOs**

As part of the loan or incentive application process, applicants often depend on their contractor or CBO for assistance. In addition to answering questions from applicants, the Originator may need to work with the Contractor or CBO to help the applicant move forward in the process. This may also include obtaining permission from the applicant to share certain information with the Contractor or CBO, to the extent permitted by law.

**III. PROPOSAL REQUIREMENTS**

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

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

**Format.** Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. The proposal must be in the following format:

1. **Company Information.**

Provide the following required information about the proposer:

- a) Name of business entity (including any “Doing Business As” names)
- b) All entities, except for publicly held corporations or membership non-profits: disclose who your principals/shareholders/partners/members are.
- c) Primary contact for this proposal
- d) Headquarters/Parent Company Location
- e) Date founded and history of firm
- f) Details of entity’s business structure
- g) Internet web site address (if any)
- h) Lending experience in New York
- i) New York State and other pertinent locations and total number of employees at each site
- j) Submit proof of insurability for workers compensation and consultant liability
- k) List of any outstanding litigation that would threaten the viability of the firm or the performance of this contract
- l) Disclose whether you have ever had any lending license or approval suspended or revoked. If so, provide an explanation of the circumstances and the outcome
- m) Disclose whether you have ever been the subject of any judicial, regulatory or administrative proceeding. If so, provide detail on the nature of the proceeding and its outcome

2. **Description of Qualifications.**

- a. **Proposer.** Describe your experience in unsecured loan originations and/or third party loan originations, loan underwriting, and customizing and maintaining internet portal(s) for on-line credit applications intake. If relevant, summarize your consumer loan program and/or any consumer loan program(s)

handled for third parties, including length of contract, loan volume (both number and dollar), the method of application intake, complaint resolution process, and reporting requirements.

- b. **Staff.** Identify the individual who will be the Project Lead, and provide the Project Lead's resume. The Project Lead will be NYSERDA's primary point of contact. Clearly state the Project Lead's qualifications to oversee this program, including length of time with the Proposer and in managing consumer loan program(s) and/or third party loan origination programs. Identify the number of staff to be associated with this project, including the number of loan processors, etc., along with the staffs' average years of experience. Identify the Project Lead's backup, and provide the backup's resume and qualifications.
- c. **References.** Submit three (3) references documenting your organizations' experience in originating third party loans and/or unsecured lending, including the following information:
  - i. Program name;
  - ii. Loan volume (both number of loans originated and average dollar per loan);
  - iii. Number of staff assigned to the project;
  - iv. Name, title and employer/organization of reference;
  - v. Telephone number(s); and
  - vi. If applicable, identify any contracts with NYSERDA that you have been a party to, and provide the name of your NYSERDA contact.

3. **Loan Origination System.** The Proposer must have an automated application intake system (the "System") which can accommodate on-line applications in addition to taking loan applications through a toll free number, email and fax. **Failure to have an operational automated application intake system will result in proposal disqualification.** The System must be a web-based, interactive portal which will allow consumers to complete an on-line credit and incentive application, and receive a rapid pre-approval decision, followed by a final loan and incentive decision. The System shall be made available to applicants, Contractors, CBOs and NYSERDA, sharing only the data appropriate for each party based on need, consistent with NYSERDA's policies regarding consumer privacy, and to the extent permitted by law. The System will provide for data exchange between NYSERDA's residential and renewable programs, and possibly others, and the Originator through an automatic Application Program Interface ("API") and through a secure FileTransfer Protocol ("FTP") site for the purpose of fulfilling the tasks as described herein.

Your proposal should clearly indicate the following:

- a) That the Proposer's System is flexible and allows for customization if needed;
- b) Any limits on customization;
- c) The extent of customization needed to meet the requirements of this solicitation, and anticipated time frame to customize your System. Note that the System should be fully operational within three months of contract execution;
- d) Any system barriers that may preclude you from originating loans within three months of contract execution;
- e) The collaborative process and frequency of interactions with NYSERDA throughout the customization process to ensure that your System meets NYSERDA's requirements;
- f) The process for determining loan and incentive pre-approval and approval, including response timeframes and required documentation. Indicate which parts of the process(es), if any, are manually or automatically completed by your System. Explain how you will address any sudden increase or decrease in the volume of applications.
- g) The length of time the Proposer has been using its web-based System;
- h) How much activity the Proposer's System currently experiences (number of total applications and average annual number of applications);
- i) If available, a link to your portal or to a live demonstration site;

- j) The process used for obtaining credit reports and which credit bureau you propose to use for NYSERDA's program; and
- k) The method you propose to use to validate income documented by applicants. Currently, this is done through applicants attaching through the online application system copies of filed tax returns or other documentation. NYSERDA is interested in alternative techniques that could be used to satisfy income documentation and validation as part of DTI calculation and income eligibility determination.

4. **Tasks.**

The tasks found in Section V will provide the foundation for the Statement of Work ("SOW"), a detailed plan or action document that describes how the Proposer will accomplish the project. It specifically delineates each step or procedure required to accomplish the Program's objectives, identifying deliverables and is the basis for payment. As such, it is the primary contractual document.

Describe in detail your approach and methodology to satisfactorily complete each task and subtask. Ensure you address the following minimum requirements:

- a. Provide a description of the data exchange capabilities between the Originator's system and NYSERDA data and program processing systems through using a web-based API and secure FTP site;
- b. Fully describe how the Proposer will originate, underwrite in accordance with NYSERDA's underwriting criteria, and fund loans between \$1,500 and \$25,000;
- c. Discuss fully how the Proposer will provide loan closing documents to borrowers through on-line accessibility, mail and email. Executed documents are to be held in escrow until such time as proposed work has been completed and payment to the Contractor has been authorized;
- d. Discuss your process to verify total household size and income against NYSERDA's income-eligibility guidelines for applicants;
- e. Explain how OBR loan Declarations will be monitored to ensure timely receipt by the Proposer;
- f. Explain how the Proposer will coordinate and communicate effectively with NYSERDA, loan and incentive applicant(s), Contractors, CBOs, and the Implementation Contractor(s) including robust and responsive customer service from application receipt through project completion and funding;
- g. Explain how the Proposer will provide strong and accurate data collection, data quality and data verification; and
- h. Provide a copy of the Proposer's electronic signature policy and any technology currently used for electronic signatures for credit applications or loan agreements.

Program changes will periodically be required and necessitate implementation modifications, such as a change in interest rates, tiered interest rate structure, income eligibility guidelines, program documentation, etc. Such changes may require system(s) modification(s) and coordination with other parties, i.e. Implementation Contractors. Clearly state your ability to respond to such changes in a timely and efficient manner.

5. **Reporting.**

Indicate your ability to provide the required reporting as described in Section V. State your ability to provide additional information (ad hoc reports), within a reasonable timeframe, that may from time-to-time be required. Describe your procedure to ensure reporting/data accuracy. Describe your ongoing data quality assurance protocols.

6. **Pricing.**

Using the pricing sheet found as Attachment F, the Proposer is to provide pricing for the following services. Said pricing can be either a flat fee or performance based, and must be cost effective.

- a) Loan origination, processing, underwriting, document generation, closing and shipment of credit files to the loan servicer;
- b) Processing of income verification requests;
- c) Any discount pricing based on either loan or income verification volume;



- d) Anticipated pricing increases. Such increases are to be stated as a percent of the initial pricing; and
- e) If proposing performance based pricing, clearly indicate any base pricing, if applicable, the pricing range, and how performance is to be measured. Performance is to be easily quantifiable.

Indicate whether System customization costs are included in pricing above or charged separately. If separate, provide detailed cost basis and estimates for System customization work. Identify any risks or unknowns related to those costs. NYSERDA reserves the right to annually seek repricing if it is determined that the Proposer's pricing is too high compared to industry research and standards.

**7. Alternative Methods.**

At the Proposer's option, provide an alternative(s) to NYSERDA's Tasks. Such alternatives may include faster or more reliable loan intake and/or processing, income verification documentation and processing, etc. Describe in detail

- a) any alternatives to the to the Tasks as outlined in Section V;
- b) tasks and business processes involved in the alternative method;
- c) which, if any Tasks above would be modified or replaced;
- d) benefits you believe such a system will provide NYSERDA's ability to serve New Yorkers, i.e., a reduction in processing time, paper handling, etc.; and
- e) any impacts on pricing.

**IV. PROPOSAL EVALUATION AND SELECTION PROCESS**

Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview. NYSERDA retains the right to request any additional information pertaining to the Proposer's ability, qualifications, and procedures used to accomplish all work under the contract as it deems necessary to ensure safe and satisfactory work. Failure to provide required information may result in a proposal being deemed nonresponsive, in which case it may not be evaluated further.

**1. Tasks**

- a) Does the Proposer show an understanding of NYSERDA's needs as outlined in this solicitation?
- b) Does the Proposer's approach to each task and subtask described in Section V demonstrate the ability to effectively accomplish the tasks? If an alternative approach is provided, does it meet the needs of the solicitation and provide other benefits such as improved turnaround times, improved customer service, or lower cost?
- c) Does the Proposer demonstrate that it can meet NYSERDA's programmatic and technical needs, including the ability to provide data exchanges, accurate loan underwriting and the coordination of loan closings, and file transfer to the Loan Servicer?
- d) Does the Proposer have an adequate methodology to determine household size and income for determining loan interest rates and incentive eligibility?
- e) Does the Proposer adequately address the monitoring of OBR Declarations?
- f) Does the Proposer demonstrate it can and will effectively communicate with NYSERDA, applicants, Contractors and CBOs, and provide effective customer service?
- g) Does the Proposer demonstrate its ability to provide accurate data collection, data quality and data verification?
- h) Does the Proposer demonstrate that it can adequately accommodate increases/decreases in the volume of applications?
- i) Does the Proposer demonstrate it has the ability to adequately respond to program changes?

## **2. Loan Origination System**

- a) Is the Proposer's System flexible and customizable enough to accommodate program needs?
- b) Can the Proposer have their System fully operational within the required three months?
- c) Does the proposed collaboration and interaction plan provide for adequate oversight by NYSERDA, and an ability for NYSERDA staff to have confidence in the ability of the Proposer to meet the required timeline for System launch?
- d) Are preapproval and approval timeframes consistent with industry standards and good customer service?

## **3. Proposer's Qualifications**

- a) How extensive is the Proposer's experience in originating unsecured loans/third party loans?
- b) Does the Proposer demonstrate adequate and effective experience with similar programs?
- c) How experienced is the Proposer in creating, customizing and maintaining an on-line intake system?
- d) How extensive is the Project Lead and staff's experience?
- e) Will the Proposer adequately staff the program?
- f) Were resumes for key personnel, including the Project Lead(s), provided and is relevant experience cited?
- g) Are references provided, and are references positive?
- h) Has the participant's performance been satisfactory under previous NYSERDA contracts, if applicable?

## **4. Reporting**

- a) Is the Proposer able to provide the required and accurate reporting metrics in a timely manner?
- b) Does the Proposer indicate its ability to provide ad-hoc data requests in a timely manner?
- c) What data quality assurance protocols or procedures are in-place to ensure reporting accuracy, and how robust are they?

## **5. Pricing**

- a) Is the pricing proposed and any price increases reasonable, justified and cost effective?

## **V. TASKS**

The Originator is expected to complete each of the tasks set forth below, many of which may be performed concurrently. These Tasks will be the basis for the Statement of Work, which will be a part of the contract with the selected Originator. Based on input from the selected Proposer and possible alternative approaches, the Tasks may be changed during contract negotiation to ensure the most successful and cost-effective approach is used to meet the program needs. All applicable New York State and federal banking regulations apply.

### **Task 1: Kick-Off Meeting**

The Originator shall attend a kick-off meeting at NYSERDA's Albany office. The purpose of the meeting is to

- Review all processes, procedures, responsibilities and reporting requirements; and
- Allow time for the Proposer to present its program implementation plan, identifying proposed milestone dates for any required customization of the Originator's Loan Origination System, including testing for application receipt, processing, approval/denial, loan document generation, loan closing and file transmittal to the Loan Servicer.

Representing the Originator shall be the project lead and other staff who will have frequent interactions with NYSERDA.

*Deliverable:* Within seven business days following the Kick-Off Meeting Originator shall provide draft meeting notes to NYSERDA for review. NYSERDA shall provide Originator with comments within five business days. Originator shall have five business days to review and provide final meeting notes to NYSERDA and other meeting attendees.

## **Task 2: Income Verification for LMI Programs**

The Originator shall be required to verify total household income for applicants who request to be considered for an income-eligible incentive. Interested homeowners shall complete an application and submit it to the Originator for review. Should the Originator determine that a household may qualify for an incentive or no-cost services, Originator is to send the applicant(s) a preapproval letter, informing the applicant(s) of the potential eligibility, and either request from the applicant or a third party as identified by the applicant such information as needed to qualify for incentive.

For each incentive application received, the Originator shall verify household size and income level against income guidelines provided annually by NYSERDA. The current guidelines, by county, are found at <http://www.nyserda.ny.gov/All-Programs/Programs/Assisted-Home-Performance-with-ENERGY-STAR/Income-Guidelines>. If the applicant is approved or denied for an income-eligible incentive, the Originator shall notify applicant(s), Contractor, CBO if applicable, and the appropriate NYSERDA staff of incentive eligibility. Notification is to be made in writing and provided via mail and email (if applicable). Approvals shall be valid for 180 days and notification shall include either the amount of the approved incentive, or the maximum percent or dollar award of the incentive. If denied, a separate notification shall be provided to the applicant(s) that shall include the denial reason. If denied, the notification to the Contractor, CBO and appropriate NYSERDA staff shall not include the denial reason.

Households meeting various income thresholds may be eligible to receive an incentive for a portion of the work, or certain work at no cost. The homeowner may also be eligible for GJGNY financing for the balance of the cost of qualifying measures.

If the Originator determines applicant may qualify for no-cost low income services, Originator shall send the applicant a letter informing the applicant that certain work may be obtained free of charge, with options for obtaining the services. The Originator and NYSERDA shall work together to develop appropriate letter formats to meet various program needs.

**Invoicing:** The Originator shall invoice NYSERDA for funded incentives. The invoice shall include incentives paid for the prior month categorized by program. Each invoice shall be accompanied by a report specifying cumulative incentives for the month being invoiced and incentives invoiced year-to-date, including supporting documentation.

The Originator shall invoice NYSERDA, not more frequently than once a month, for income verification fees. The invoice shall include fees, as approved by NYSERDA, for performing income verification services categorized by program. Each invoice is to be accompanied by a report specifying cumulative incentives for the month being invoiced and incentives invoiced year-to-date, with supporting documentation.

### *Deliverables:*

1. NYSERDA shall provide Originator with any changes to the incentive income eligibility guidelines;
2. NYSERDA and the Originator shall work together to develop standard template incentive letters to inform applicants of their eligibility status, the letters of which are subject to final approval by NYSERDA; and
3. Originator shall also provide incentive eligibility status to applicants, contractor and CBO, if applicable.

## **Task 3: Last Owner Searches**

NYSERDA presently has three title companies under contract to conduct last owner searches, and to file OBR Declarations, as discussed under Task 6.

For each OBR loan application, the Originator shall contact one of the title companies to request a search. The search shall be conducted as early in the process as is reasonably possible due to the length of time it takes to obtain results. Once received from the county where the project property resides, the title company shall provide the Originator with the search results. Should there be discrepancies between the search result and loan

application, the Originator shall work directly with the title company and/or applicant to rectify. The Originator shall proactively communicate with NYSERDA regarding issues with title companies that are impacting origination efficiency. The title company shall invoice NYSERDA for each search. If the Originator does not contact the title companies to request a search in a timely manner, the Originator shall be responsible for resolving, to NYSERDA's satisfaction, all related borrower issues.

*Deliverables:*

1. NYSERDA shall communicate contact information and any change(s) in title companies to the Originator;
2. The Originator shall request a last owner search from a title company, on a rotating basis, within one business day of the homeowner(s) loan preapproval. The Originator shall provide information as required by the title company. Once ordered, the Originator shall track each search requested to ensure a response;
3. When the last owner search is returned to the Originator, the Originator shall verify the information provided by the applicant matches that from the search;
4. The Originator shall follow up with a title company on the 10<sup>th</sup> business day if the search response is not received; and
5. At NYSERDA's request, Originator shall provide NYSERDA with a list of outstanding searches, including the property address, date sent to the title company, and title company selected.

**Task 4: Loan Processing, Underwriting and Income Verification for Interest Rate**

The Originator shall process and underwrite loan applications based on underwriting guidelines provided by NYSERDA. GJGNY Financing underwriting guidelines are found as Attachment D, and are subject to change. The Originator shall either approve, deny or withdraw all applications received using NYSERDA's underwriting guidelines. The Originator shall be responsible for assuring that each SEL and OBR loan complies with all of the terms and conditions and loan underwriting standards at the time the applicable loan is underwritten; otherwise, the Originator shall be responsible for the total loan amount funded.

The Originator shall be required to verify total household income for each applicant to determine the appropriate income-based interest rate, unless the applicant opts-out of such income screening. Income screening for interest rate determination should be accomplished as part of household income verification for income-eligible incentives, as described in Task 2, whenever applicable.

The Originator shall provide preapproval of loan applications based on underwriting criteria. Preapproval shall be valid for up to 180 days, and subject to terms needed for loan approval, including approval of the project by the relevant program. The Originator shall receive project approval notification through the web-based program management portal or secure FTP data transfer, depending on the program. The Originator shall either approve or deny the loan application upon receipt of any pending documentation provided by the applicant(s), and project approval documentation provided by the applicable program.

Once approved for a loan, Originator shall provide the applicant(s) with a completed note for execution and all program documents requiring applicant(s) signature. The Originator shall allow the loan approval notification to be valid for 240 days.

Applicant(s) may request extensions for loan preapprovals or approvals, subject to NYSERDA approval. If no extension request is received, the Originator shall notify the applicant, Contractor and CBO, if applicable, of the pending withdrawal or cancellation, and give the applicant 30 days to request an extension before withdrawing or canceling the loan application. Applicants shall be subject to re-qualification if a project is undertaken at a later date.

**Invoicing:** The Originator shall invoice NYSERDA, not more frequently than once a month, for income verification fees not already invoiced through Task 2. The invoice shall include fees, as approved by NYSERDA, for performing income verification services for interest rate determination. Each invoice is to be accompanied by a

report specifying cumulative fees for the month being invoiced and fees invoiced year-to-date, with supporting documentation.

*Deliverables:*

1. NYSERDA shall provide Originator with current underwriting guidelines, OBR note, and any future updates to these documents and/or interest rate changes;
2. Originator shall either provide NYSERDA with its consumer loan note to be used for SELs, or work with NYSERDA to create a note;
3. NYSERDA and the Originator shall work together to develop standard template loan preapproval, approval and loan withdrawal/cancellation letters, which are subject to final approval by NYSERDA; and
4. No less than quarterly, the Originator shall update the queue of applications whose preapproval or approval has expired by notifying the applicant, Contractor and CBO, if applicable, of pending loan withdrawal or cancellation, and providing 30 days for the applicant to request an extension before withdrawing or canceling the loan.

**Task 5: Loan Closing**

Upon completion of work, the Originator shall receive electronic notification, along with final project documentation and change order(s) from the Implementation Contractor or NYSERDA staff through the web-based program management portal or secure FTP data transfer, as applicable.

If a change order is presented that increases the requested loan amount, the applicant shall be required by the Originator to be re-qualified for the new loan amount.

If a change order is presented that decreases the requested loan amount up to \$200 less than the amount on the signed loan documents the following must be added to the Certificate of Completion:

- 1) The customer shall add a note with their signature requesting the Contractor be paid the full approved loan amount; and
- 2) The Contractor shall add a note with their signature agreeing to refund the customer the difference between the project cost and loan amount as stated on the note.

If a change order is presented that reduces the approved loan amount on the signed loan documents by more than \$200, the Originator shall ensure revised approval notification is provided and perform a second review of the loan information for the revised loan amount. The Implementation Contractor or appropriate NYSERDA staff shall provide the Originator with a revised workscope approval notification and any applicable program documentation, i.e., revised workscope and cost estimate.

The Originator shall close the loan and provide the loan proceeds to the Contractor within two business days by either check or electronic funds transfer.

**Invoicing:** The Originator shall invoice NYSERDA not more than weekly for loans and associated origination fees funded the prior week.

*Deliverable:*

1. Upon receipt of project completion notification from the Implementation Contractor or applicable NYSERDA program staff, and any actions required as a result of change orders, the Originator will pay the amount of the loan to the Contractor within two business days.

**Task 6: On-Bill Recovery Loan Declarations**

For those applicants that execute an OBR financing note, within one business day of receipt of executed loan documents, Originator shall instruct one of the title companies to file an On-Bill Recovery Loan Declaration (“Declaration”) in the county of the home’s location. Documentation is to include the applicant’s/co-applicant’s

name, property address and loan amount. The County Clerk shall return the filed Declaration to the title company, who shall in turn forward the recorded Declaration to the Loan Servicer. A signed and notarized unrecorded copy of the Declaration shall be placed in the borrower's loan file. NYSERDA is responsible for paying the title company for this service.

Should the Originator delay the submission of the OBR Declaration to a title company it shall be at NYSERDA's discretion if the Originator shall be liable for payment of any OBR loan funds not fully repaid as a result of the property being sold to a new owner who was not informed of the obligation against the utility meter.

Originator shall coordinate with all title companies and track submission dates by title company to the county. Originator shall follow up with title company bi-monthly for updates on submission dates by title company. Originator shall prioritize Declarations that are rejected.

*Deliverable:*

1. The Originator shall develop a tracking system that adequately monitors Declarations from issuance through confirmation of filing with respective county; and
2. The Originator shall follow-up with the title company if the Declaration is rejected, and work with the title company and/or the borrower and/or applicant to return a recordable Declaration to the title company.

**Task 7: Credit Files and Data Transfer to Loan Servicer**

The Originator shall create and maintain a physical or secure electronic credit file for each applicant, from pre-approval through loan closing. Each credit file shall contain the original executed note, along with all correspondences and documentation required while underwriting the loan and conducting its due diligence. If electronic files are used, the Originator shall conform to requirements of the New York State Office of Cyber Security Policy P03-002, found at [https://www.its.ny.gov/sites/default/files/documents/enterprise\\_information\\_security\\_policy\\_v5.1\\_0.pdf](https://www.its.ny.gov/sites/default/files/documents/enterprise_information_security_policy_v5.1_0.pdf), and any amendments thereto, to maintain the security of and to prevent unauthorized access to Information that is maintained in electronic form on your systems. NYSERDA shall provide the Originator with any such amendments.

On a weekly basis, Originator shall either mail physical files or electronically submit credit files for the loans closed the prior week to the Loan Servicer, along with a dataset provided in the Loan Server's preferred format. Loan Servicer shall randomly select a set percentage of the files received and perform a validation review of loan underwriting accuracy. On a weekly basis Loan Servicer shall provide Originator, with a copy to NYSERDA, of its findings.

**Task 8: Reporting.**

The Originator shall compile concise, accurate reports throughout the term of the contract to document the status of loans and incentives. The Originator must have data quality assurance protocols or procedures in place to ensure data and reporting accuracy.

*Deliverables:*

Weekly: A weekly report shall be submitted to NYSERDA no later than the 12:00 PM Eastern Standard Time every Monday for the prior week detailing loan and incentive activity of the prior week, and contract to-date activity.

Said report shall include, but not be limited to:

- The number of applications and or maximum loan amount received during the reporting period and contract to date, summarized by purpose (EE/PV/other) and income level (less than 80% of LMI/80% to 120% of LMI/over 120% of LMI);

- The number and total dollar amount of loan applications preapproved during the reporting period and contract to date, summarized by purpose (energy efficiency (EE)/PV/other), income level (less than 80% of LMI/80% to 120% of LMI/over 120% of LMI), and underwriting criteria (Standard Criteria/Extended Criteria);
- A summary of the percentage of loan applications approved or denied during the reporting period and contract to date, and the percentage of denied applications summarized by reason for denial;
- The number and total dollar amount of loan applications approved during the reporting period and contract to date, summarized by purpose (EE/PV/other), income level less than 80% of LMI/80% to 120% of LMI/over 120% of LMI), and underwriting criteria (Standard Criteria/Extended Criteria);
- The number and total dollar amount of loan applications withdrawn/cancelled during the reporting period and contract to date, summarized by purpose (EE/PV/other), income level less than 80% of LMI/80% to 120% of LMI/over 120% of LMI), and underwriting criteria (Standard Criteria/Extended Criteria);
- The number and total dollar amount of loans closed during the reporting period and contract to date, summarized by purpose (EE/PV/other), income level less than 80% of LMI/80% to 120% of LMI/over 120% of LMI), and underwriting criteria (Standard Criteria/Extended Criteria);
- The number and total dollar amount of loans issued during the reporting period and contract to date, summarized by purpose (EE/PV/other), income level (less than 80% of LMI/80% to 120% of LMI/over 120% of LMI), and underwriting criteria (Standard Criteria/Extended Criteria), and interest rate;
- Average time to process applications (from receipt to preapproval; and from receipt to approval) during the reporting period and life to date; and
- The number and dollar amount of incentives approved and paid during the reporting period, summarized by purpose (EE/PV/other).

Monthly: By the 10<sup>th</sup> of the following month, Originator shall provide NYSERDA with a report:

1. Copying the Loan Servicer, that details the outstanding Declarations. The report shall include the borrower's name and address, the county of dwelling's location, the date the signed Declaration was received from the applicant(s), the date the signed Declaration was submitted to the title company and the name of the title company conducting the filing; and
2. Detailing the number of applicants referred to a low-income program; the number of applicants requesting incentives; and the number and dollar amount of incentives approved, paid and denied during the reporting period and contract to date, summarized by purpose (EE/PV/other).

Miscellaneous:

1. On a quarterly basis, provide performance metrics including processing timeframes and recommendations for improving processing timeframes where needed.
2. Ad-hoc reports as requested by NYSERDA. These reports may pertain to a specific subset of data, a specific time period, or a specific type of analysis NYSERDA requires to understand the performance of the loan program; and
3. At NYSERDA's request, Originator is to provide metrics showing average days from time of submission to receipt of executed search, by title company.

## **VI. GENERAL CONDITIONS**

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each

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

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

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

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

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

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

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

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

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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 reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited



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

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

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

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**VII. Attachments:**

- Attachment A – Proposal Checklist
- Attachment B – Disclosure of Prior Findings of Non-Responsibility
- Attachment C – Electronic Proposal Submittal Instructions
- Attachment D – Underwriting Guidelines
- Attachment E – Loan Volume
- Attachment F - Pricing Sheet
- Attachment G – Sample Agreement



**Reducing Distributed Energy Storage Soft Costs**  
**Request for Proposals 3407**

**\$8,100,000 Available**

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

Proposals Due: December 12, 2016 by 5:00 PM Eastern Time\*

This New York State Energy Research and Development Authority (NYSERDA) Request for Proposals (RFP) 3407 seeks technical assistance contractors with the insight and capabilities to work with NYSERDA on assimilating distributed energy storage into mainstream consciousness as a viable peak load reduction measure and grid asset. In pursuit of this goal, NYSERDA is seeking proposals from qualified contractors to develop and implement a comprehensive strategy to reduce soft costs associated with distributed energy storage systems in New York State by 25% per kWh by 2019 and 33% or more by 2021 compared to a 2015-16 baseline of approximately \$220/kWh.<sup>1</sup> Distributed energy storage (which will be referred to as energy storage in this RFP) refers to systems in the kW to multi-MW range located behind and in-front-of a customer’s meter within the distribution and sub-transmission system, excluding bulk storage. Up to \$8,100,000 of NYSERDA funding is available. All, some, or none, of the available funds may be awarded.

**Proposal Submission:** Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, applicants must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility. 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.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment E to this RFP.

If mailing or hand-delivering, applicants 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 3407**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

<sup>1</sup> This will be further refined through a soft cost study by NYSERDA in early 2017.

No communication intended to influence this procurement is permitted except by contacting Ben Falber at (518) 862-1090, ext. 3050 or [benjamin.falber@nyserderda.ny.gov](mailto:benjamin.falber@nyserderda.ny.gov) or Jason Doling at (518) 862-1090 ext. 3558 or [jason.doling@nyserderda.ny.gov](mailto:jason.doling@nyserderda.ny.gov) (“Designated Contacts”). If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or [nancy.marucci@nyserderda.ny.gov](mailto:nancy.marucci@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 an applicant being deemed a non-responsible offerer, and (2) may result in the applicant not being awarded a contract.

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

## **I. Introduction:**

Energy storage is a multi-faceted technology that cuts across many sectors, and will become a supporting pillar of the electric system under the Reforming the Energy Vision (“REV”) initiative. Energy storage will help achieve New York’s long-term renewable and greenhouse gas reduction goals<sup>2</sup> by integrating intermittent renewables, increasing utilization of electric system assets and reducing peak demand, and reducing the need for fossil fuel peaker plants.

Advanced energy storage on the grid, including utility-sited and customer-sited applications, is also a significant economic development opportunity with global projections increasing from 538 MW installed in 2014 worth \$675 million to 21,000 MW worth \$15.6 billion installed in 2024, and up to \$400 billion in annual sales by 2030.<sup>3</sup> NYSERDA seeks to maximize opportunities for firms to provide energy storage solutions to the New York marketplace. Firms engaged in the New York energy storage sector include Fortune 500 companies, original equipment manufacturers, system integrators, research institutions, and a strong startup community.

While battery costs are generally declining by 10% or more annually,<sup>4</sup> soft costs, which include permitting and customer acquisition, can comprise 25% or more of the total installed cost of a

<sup>2</sup> “The Clean Energy Standard will require 50 percent of New York’s electricity to come from renewable energy sources like wind and solar by 2030 [and] . . . reducing greenhouse gas emissions by 40 percent (from 1990 levels) and by 80 percent by 2050.” <https://www.governor.ny.gov/news/governor-cuomo-announces-establishment-clean-energy-standard-mandates-50-percent-renewables>; <http://www3.dps.ny.gov/W/PSCWeb.nsf/All/CC4F2EFA3A23551585257DEA007DCFE2?OpenDocument>

<sup>3</sup> Navigant Research, *Energy Storage for the Grid and Ancillary Services, 2Q 2016* (providing 2014 and 2024 market data): <http://www.navigantresearch.com/newsroom/energy-storage-for-the-grid-is-expected-to-reach-15-6-billion-in-annual-revenue-by-2024>; Citigroup, *Investment Themes in 2015*, January 2015 (providing energy storage market predictions for 2030): <https://ir.citi.com/20AykGw9ptuHn0MbsxZVgmFyppuQUUt3HVhTrcjz4ibR%2Bx79LajBxIyoHIoSDJ3S%2BWRS Mg8WOc%3D> and <http://www.energy-storage.news/news/citigroup-predicts-240gw-energy-storage-market-by-2030>

<sup>4</sup> For example, since 2008-2010, lithium-ion battery module cost has decreased by a factor of four while lifetime and capacity has doubled. Sources include: Battery Power Magazine, October 2013, <http://www.batterypoweronline.com/main/articles/the-lithium-ion-inflection-point/>; PV Magazine, November 2015, [http://www.pv-magazine.com/news/details/beitrag/li-ion-battery-costs-to-fall-50-in-next-5-years--driven-by-renewables\\_100022051/#axzz4RWySFgtN](http://www.pv-magazine.com/news/details/beitrag/li-ion-battery-costs-to-fall-50-in-next-5-years--driven-by-renewables_100022051/#axzz4RWySFgtN)

distributed energy storage system. These soft costs are largely driven by local factors and are therefore well positioned for meaningful intervention by NYSERDA. As the value proposition for energy storage becomes more deeply integrated into load management practices and utility planning, this RFP's purpose is to leverage NYSERDA's market role to ensure that soft costs are not undue roadblocks to otherwise bankable energy storage projects.

## II. Program Summary

This RFP seeks technical assistance contractors to assist NYSERDA in providing credible third party assistance to building owners and operators, storage vendors, Authorities Having Jurisdiction (AHJ), and others to address the stall points described herein. Four categories of activities are included in this RFP. These technical assistance contractors will augment NYSERDA's staff and build upon NYSERDA's reputation as a source of objective and credible information. This initiative is not exclusive to a particular energy storage technology. However, soft costs are especially significant for electrochemical systems which, due to their features, smaller footprint, and flexibility, are well suited for meeting many electric system needs.

- Category 1: Energy Storage Permitting Guidance. Working with AHJs such as fire and building departments to inform, train, and disseminate clear and unambiguous model operating procedures to guide installation of energy storage systems while codes and standards continue to evolve.
- Category 2: Customer Acquisition and Best Fit Customer Data Analytics. Conducting analytics on load data to determine characteristics that identify best fit customers for energy storage. This includes market segmentation, analyzing interval meter data, conducting data logging where necessary, iterating key characteristics and algorithms, and developing tools for use in the public domain by NYSERDA, customers, and vendors to quickly downselect those most likely to benefit from an energy storage system. Outreach and education to such best fit customers, in coordination with NYSERDA and the distribution utility, is also required.
- Category 3: Customer and Industry Education. Developing and providing educational and outreach programming for customers and vendors on the utilization of storage for various use cases. The deployment of this programming on the business case for storage will require strategic marketing, will be guided by the data analytics in Category 2, and be dependent on granular assessments of geographic needs as well as identified utility needs. Such use cases include customer bill savings primarily via demand charge management; optimizing existing tariffs including standby tariffs; facilitating participation in demand response programs; participating in wholesale markets as opportunities evolve; avoiding interconnection costs and increasing hosting capacity for renewable energy installations; integrating with on-site solar; and informing utility thinking around non-wires alternatives.

[renewables.100022051/#axzz4G5yZqQof](http://renewables.100022051/#axzz4G5yZqQof); Bloomberg New Energy Finance Summit historical price chart: <http://c1cleantech.com/wpengine.netdna-cdn.com/files/2015/09/battery-learning-rate.png>; Pike Research and Deutsche Bank price trends: <https://grist.files.wordpress.com/2011/09/li-ion-projected-costs.png>; Lithium ion density trends: [http://static.cdn-seekingalpha.com/uploads/2012/5/14/saupload\\_Battery\\_20Energy\\_20Density.jpg](http://static.cdn-seekingalpha.com/uploads/2012/5/14/saupload_Battery_20Energy_20Density.jpg) and <http://www.nissan-global.com/JP/TECHNOLOGY/FILES/2010/07/f4c4d5d2e20391.jpg>.

- Category 4: Data Collection and Analysis for Deployed Energy Storage Systems. Collecting, analyzing, aggregating, and presenting real performance and financial data from distributed energy storage systems that will be deployed with NYSERDA support, as well as potentially other projects in New York State, to increase confidence in system performance, bankability, and reliability. NYSERDA seeks an intermediary party to perform data quality control and relationship checks on deployed systems as well as to provide bill analytics in order to, among other activities, develop case studies highlighting specific use cases and customer segments.

Applicants may apply to provide one or more of these Categories of services, and proposals should address all of the activities required within each Category or Subcategory. If a proposal includes a partnership of applicants that seek to provide various services as a team, the qualifications and expertise of each applicant with regard to fulfilling the specific roles should be clearly identified. For example, content creation and the outreach and marketing of that content may be shared by two applicants in partnership. While NYSERDA reserves the right to reallocate funds between the Categories, the anticipated budget is: Category 1 \$1,000,000; Category 2 \$2,200,000; Category 3 \$2,450,000; and Category 4 \$2,450,000. Each set of activities and an associated budget specific to that Category must be presented independently. Any economies of scale that would be obtained by selecting a contractor to provide multiple categories of services should be clearly described.

NYSERDA intends to select a pool of contractors that demonstrate technical merit through this RFP. NYSERDA intends to enter into general Task Order Agreements with the top-ranked applicants in each support area, with the flexibility to request services for a variety of activities (see Section IV.C. for an explanation of Task Order Agreements). NYSERDA will administer, manage, and coordinate the various technical assistance contractors selected under this RFP and the management of projects implemented. NYSERDA is not seeking a third party for this oversight and coordination role, and such work will not be subordinated to a contractor. This precludes from consideration applicants that do not seek, as their primary purpose, to directly implement the activities described, or proposals solely to coordinate and subcontract activities to others.

Applicants should propose specific activities and outcomes that would be accomplished for three years (2017 to 2019). Particular emphasis should be placed on 2017 activities and the associated budget. Category 1, especially permitting, is a priority activity that requires immediate and substantial deployment. The data analytics required to identify best fit customers under Category 2 are also priority actions. Educational programming activities under Category 3 will be based on a granular assessment of needs and opportunities, and applicants should propose initial activities that address immediate identified needs. The scope of work under Category 4 will expand as the number of storage deployments increases, including under a separate future solicitation for “value stacking pilot” projects. Much of the work described herein is intended to support and be informed by the results of this value stacking solicitation expected to be released by January 2017 to assess the effectiveness and value from using a distributed storage system to meet distribution and/or wholesale system needs in addition to those of the host site. NYSERDA intends for these projects to serve as bellwether demonstrations that support the building of a REV-envisioned grid.

### **III. APPLICANT WEBINAR & INQUIRIES**

NYSERDA will conduct an informational webinar on November 16 at 11:00 am - 12:00 pm Eastern Time during which NYSERDA will review this RFP, the proposal requirements, and answer questions. Applicants who intend to participate can send an email to [EnergyStorage@nyserda.ny.gov](mailto:EnergyStorage@nyserda.ny.gov) with the subject line “RFP 3407 Applicant Webinar” and information on how to participate will be provided.

Applicants are encouraged to submit written questions prior to the webinar to [EnergyStorage@nyserda.ny.gov](mailto:EnergyStorage@nyserda.ny.gov) and will also have the opportunity to type in questions during the webinar through the webinar portal.

Following the webinar, NYSERDA will post the webinar and questions and responses on this RFP webpage. NYSERDA will post all questions anonymously and NYSERDA’s written responses will supersede any responses given during the Applicant Webinar.

### **IV. Program Requirements and Categories**

Applicants are invited to submit, in the format described in Section V, a proposal describing their skills, expertise, qualifications, and proposed activities and budget in any or all of the following categories. The proposed scope of work shall achieve the stated goals and the specific activities that are described in each Category and/or Subcategory. Applicants are also encouraged to include alternative and/or additional activities that can effectively help to achieve the goals. An expanded scope should be justified by market need within the proposal or through letters of support.

All applicants must consider and seek to leverage existing efforts such as, but not limited to, the PV Trainers Network,<sup>5</sup> outreach activities through the Clean Energy Communities Program,<sup>6</sup> and professional associations.

Co-funding, while not required, is strongly encouraged and will be considered in the review criteria.

#### **A. Categories and Required Activities**

##### **CATEGORY 1: Energy Storage Permitting Guidance**

NYSERDA seeks an implementation contractor(s) that will work with NYSERDA and AHJs to ensure that siting and permitting is grounded in data, ensures safe deployment, and is not an overly complex and uncertain barrier to an otherwise bankable energy storage project. Further, NYSERDA seeks to mitigate the risk that market opportunities continue to outpace the development of regulations, codes and standards thereby stalling deployment. Pre-establishing energy storage siting requirements and model codes that anticipate growing market opportunities can allow for a clear regulatory path to site storage when the market opportunities arrive. This Category describes a two-pronged multi-year initiative that will initially, but not exclusively, target downstate jurisdictions

<sup>5</sup> <https://training.ny-sun.ny.gov/>

<sup>6</sup> <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Communities>

including New York City and leverage this work to assist other jurisdictions. Respondents to this RFP should detail a strategic timeline and plan of execution for these activities.

For context, NYSEERDA plans to separately continue its ongoing battery fire safety testing in partnership with Con Edison. This testing is currently being conducted by DNV GL and will be used to inform ongoing and planned permitting and siting activities. Results from this work will help inform the activities described below, but this RFP does not seek a testing lab to conduct this work.

#### **a. Assist AHJs with Developing Model Storage Siting and Permitting Guides**

##### **i. Goal**

This first prong is a near-term priority focused on AHJs that may have established a permitting process, which can be modified, streamlined, or brought into better alignment with evolving codes, standards, and practices, in addition to AHJs that have not established a permitting process for siting behind the meter energy storage. In addition to the New York City market where energy storage permitting has gained significant attention, NYSEERDA also seeks to proactively engage with municipalities where storage systems are not yet being sited in anticipation of increasing deployment and use cases, recognizing that siting and installation requirements need to take into account the specific building environment, density, and local factors.

The development of model permitting guides will be the result of lessons-learned as best practice guidance is developed and more energy storage projects are sited. This will include iterative work in direct conjunction with AHJs and stakeholders. Model permitting guides are expected for various use cases including load reduction, on-site renewable integration, and meeting other electric grid needs. By leveraging existing permitting processes and through feedback from regulators, these guidelines may include methods for utilizing flexible zoning techniques, outdoor vs. indoor installation distinctions, occupied vs. non-occupied space, technology, inter-agency coordination/cooperation, and ideas to help streamline technical review.

##### **ii. Required Activities**

- Work with NYSEERDA to develop procedural “best practices” and permitting guides for siting energy storage in conjunction with AHJs to help guide development of building and life safety codes. Rather than literally create the text for a single model code, create categorical logic models and templates that provide options and examples for how a municipality may evaluate storage siting depending on the complexity, use cases, and needs in a particular location. Guidelines should include insight into the purpose of certain best practices to accurately manage safety risks, and seek to avoid undue revisions or additions to current regulations and possibly use existing standards as guidance.
- Develop and implement a plan for developing these model permitting guides to be shared and considered by municipalities most in need of a trusted energy storage permitting process, thereby most effectively engaging in outreach. This plan will require segmenting the market,

addressing which relevant municipalities will be targeted, the approach to targeting such municipalities, the timeline, and expected budget based on market needs and impact.

- Provide AHJs with educational outreach, while utilizing developed guides, on best practices in permitting and evaluating applications for energy storage; methods for evaluating numerous yet similar projects; evolving factors that are likely to affect project flow and workload; and resources on new technologies (benefits, risk factors, use cases) that are likely to surface in applications in the near future.
- Assist AHJs, as requested, with developing clear and unambiguous guidelines or requirements for siting stationary energy storage systems. Since existing codes and standards are generally insufficient or silent with respect to energy storage systems used for energy management purposes, this may include significant data analysis (such as evaluating battery burn, extinguisher, and ventilation test results), conversations with national or international experts, and interaction with energy storage system manufacturers and installers.
- Serve as an independent technical resource to AHJs augmenting their own staff in reviewing applications for energy storage, particularly as new technologies are commercialized. Providing recommendations to streamline permitting and application review between various AHJs within a municipality such as fire and building departments may also be sought in order to maximize available staff resources at each agency and maximize value added work.
- As future needs materialize, potentially assist with independently pre-screening applications for completeness against prescribed installation requirements before submission to an AHJ
- Partner with NYSERDA in building a strategic relationship with codes staff at the New York State Department of State to potentially evolve toward the features contained within a unified permit structure similar to the unified solar permit.
- Other activities may, as aligned with this Category, also be proposed by the applicant or assigned by NYSERDA as needs arise.

## **b. Best Practices Guidance for Energy Storage Vendors**

### **i. Goal**

The second prong will advance as model guides described in (a) are developed, and will develop energy storage vendor guidance that clearly describes existing siting requirements and identifies and recommends best practices that can be used as codes and standards continue to evolve. Both behind-the-meter and in-front-of-the-meter storage systems are likely to be represented by these guidelines. As the permitting process for siting energy storage is different among municipalities, this guidance on siting energy storage will not be a one size fits all approach, but rather, will disseminate existing requirements and best practices based on the jurisdictional requirements, risk mitigation factors, and need.

As codes and standards evolve and are developed in the State, the objective is for these model operating procedures to clearly and unambiguously inform requirements that must be considered by vendors when designing and seeking approval for energy storage system deployment. This includes,



but is not limited to, setbacks, containment, internal and external fire detection and extinguishment, ventilation, sprinkler requirements, and visual displays of system performance.

Proposals should include a method for ensuring that this information is effectively presented and distributed to the vendor community. The method for presenting and distributing information on permitting rules and best practices for compliance with these rules will be determined based on effectiveness. This may include a mechanism to track and survey for topics of interest or acute confusion in order to keep distributed materials concise and relevant.

## **ii. Required Activities**

- Develop an outreach and dissemination strategy for vendors including leveraging existing outreach mechanisms and third party partner training and professional development networks, where practical. Include the types of content projected to be delivered, audiences, means by which these audiences will be reached, and methods to assess effectiveness.
- Work directly with AHJs, including building, permitting as well as land use, zoning, and/or brownfield development agencies, etc. to develop or optimize permitting and best practices guides that can remain as elastic as the evolving regulatory environment. These guides should be a hybrid of written text, webinars, and direct links to agency rules and personnel. These guides should be built as trusted, current resources, ideally endorsed in some form by AHJs, that keep the industry informed on permitting and fire safety rules for siting energy storage. Additionally, these guides should seek to streamline the permitting review process by helping to ensure that vendors correctly submit all required information to AHJs.
- Develop location-specific best practices and practical guidance on attaining compliance based on current procedures. Aggregate best practices for siting systems.
- Leverage existing resources such as the CUNY DG Hub's energy storage permitting guide for NYC<sup>7</sup> and work in coordination with other experts in the energy storage space, including national labs and National Fire Protection Association. Specific formalized partnership teams should be described in the proposal.
- Other activities may, as aligned with this Category, also be proposed by the applicant or assigned by NYSERDA as needs arise.

## **CATEGORY 2: Customer Acquisition and Best Fit Customer Data Analytics**

### **a. Goal**

NYSERDA seeks contractor(s) to assist with reducing customer acquisition costs by identifying characteristics of best fit customers, developing screening tools, conducting data mining, and iterating these activities for use in the public domain. NYSERDA does not intend for these public tools to supplant the sophisticated proprietary analysis that an energy storage vendor would conduct when preparing a quote for a specific customer site. Rather, NYSERDA seeks deep insights from customer data sets in order to help the broader energy storage vendor community to contact best fit customers

<sup>7</sup> <https://nysolarmap.com/resources/reports/>

regarding energy storage opportunities and vendors, or to potentially match best fit customers and vendors via a publicly available web based tool.

This effort requires determining the characteristics of a customer site that make it an economic best fit for energy storage. Making this determination includes analyzing customer characteristics, primarily load profiles, in tandem with utility tariff structures while considering the capabilities and applications for energy storage technology. Initially, the desire is to begin with data from interval metered customers where interval load data is available, and then expand scope to demand metered customers.

The contractor(s) selected under Category 2 are expected to have experience conducting data analytics based on utility bills, tariffs and load profiles, as well as interval data logging to help determine key characteristics that accurately predict best fit customers for energy storage. This includes analyzing interval meter data, conducting data logging where necessary for customers identified as potential best fit, and iterating key characteristics and algorithms. This additionally includes developing publicly available data and tools for use by NYSEERDA, customers, and vendors to quickly down-select those customers most likely to potentially benefit from an energy storage system for demand charge reduction and other benefits.

#### **b. Required Activities**

- Identify the source of customer data and load profiles that will be utilized. Applicants may propose to segment and analyze data already in the applicant's possession, partner with NYSEERDA to request and acquire data sets from utilities, develop an application or other type of product or service that leverages Green Button data,<sup>8</sup> or other means of acquiring customer data subject to NYSEERDA approval. The customer data is initially expected to be analyzed in the following order, based on the prospect for positive project economics based on peak demand and demand charges. Applicants may suggest modifications to this approach and should identify specific market segmentation approaches that will be used.
  - common area load space within interval-metered New York City medium and large multifamily buildings;
  - other interval metered commercial, industrial, institutional, and municipal buildings in New York City;
  - interval metered customers in other regions of the State with high peak demands or demand charges including Westchester, and Long Island;
  - demand metered customers in regions of the State with high peak demands or demand charges including New York City, Westchester, and Long Island;
  - other interval and demand metered customers elsewhere in the State.
- Identify key characteristics of best fit customers. Segmentation will continue to expand as best fit customer characteristics are quantified in the market segments identified in the above bullet. Key characteristics for identifying customers that are a best economic fit for energy storage may include, but are not limited to, load predictability, load factor, utility territory, tariff rates and structures, peak duration, available space, sensitivity to energy costs, curtailment tolerance, and building's alignment within constrained distribution systems.

<sup>8</sup> <http://www.greenbuttondata.org/>

- Develop screening tools, conduct data mining, and iterate these activities in order to identify and contact potential customers with these key best fit characteristics to inform them about energy storage opportunities and vendors. This may serve to facilitate target outreach and educational activities, and to inform intelligence on how to best segment the market for energy storage solutions and applications. A publicly available web based tool may be proposed for utilization by customers and vendors; in this case, indicate a realistic timeframe under which NYSERDA must continue to fund tool maintenance and development, and plans for continuity beyond this support. Customers identified through a web based tool, or identified as a member of a best fit market segment under these efforts, should receive unbiased information on energy storage system options as facilitated and approved by NYSERDA. Any customer outreach or communications will be coordinated with the distribution utilities and other NYSERDA departments so that information about distributed energy resources and load management opportunities are presented to potential customers in a coordinated manner.
- Other activities may, as aligned with this Category, also be proposed by the applicant or assigned by NYSERDA as needs arise.

### **CATEGORY 3: Customer and Industry Education**

Contractors selected to implement the goals of this section will develop and deliver informational campaigns that support the implementation of distributed energy storage installations specifically when and where opportunities exist today, and as opportunities become clearer in the near future. While the business case today is largely driven by participation in utility or NYSERDA funding opportunities coupled with demand charge management, this is expected to evolve under REV as energy storage pilots, non-wires alternative use cases, and demonstrations inform the development of new use cases, tariffs, and values. This Category describes a two-pronged multi-year initiative, described in the two subcategories below: customer education and industry education.

Information and training will be targeted to the customer side: building owners and operators, as well as design and engineering professionals that may incorporate storage into building designs or renovation plans. Market segmentation will be critical, and NYSERDA seeks to target specific customer segments based on those most likely to be good fit candidates for storage used in load management and other use cases. Contractor(s) selected to assist with this Category will work with NYSERDA to clearly identify and characterize target audience, validate educational and outreach needs, and develop approach and content based on these specifically identified needs. Validation and continual improvement with the intended audience is expected.

Initially, interval metered customers with “peaky” load profiles, i.e. short, high, and predictable peak usage that results in high demand charges should be evaluated. For instance, common area load in large multi-family buildings have been identified as a segment that fits these criteria. The outreach strategy should expand to target additional customer segments including demand-metered customers as the data analytics work described in Category 2 yields predictable characteristics of best fit customers.

Materials will also be developed for energy storage vendors/installers, utilities, professional networks, and other audiences. Industry focused materials will be geared toward publicizing the business case

for storage in New York and the State and utility initiatives that support this case, as well as maximizing existing tariffs and opportunities (e.g., the standby tariff, value of “D”, demand response programs).

For context, all materials developed under Category 3 will be housed on the energy storage platform described in Category 4, which will be the central repository for distributed energy storage resources developed by NYSERDA.

**a. Goal**

Selected contractors shall develop resources and outreach that builds upon NYSERDA’s role as an independent information clearinghouse. This shall include searchable online tools that leverage existing third party platforms, holding workshops and webinars, and hosting outreach to potential customers to engage with others who have already deployed systems to learn about state of commercial deployments, vendor experiences, use cases, and business models.

Additionally, case studies and fact sheets shall be developed and promoted that help vendors and customers understand and maximize utility tariffs and wholesale market products, best practices, and economics available today as well as new business strategies as the regulatory structure evolves. Proposals should also include creative strategies for outreach that target end-users where they consume information. Proposals must include a strategy for delineating where, when, and how target consumers consume informational content, and based on that, where when and how informational resources will be deployed, whether written or through video, webinar, or otherwise.

**i. Subcategory 3a: Required Activities: Customer Education**

- Develop and implement a strategy for targeting communication for the customer classes identified in the opening paragraphs of this Category with a plan for developing content and a method for releasing content where, when, and how these customers consume informational content. Clear enunciation of customer needs and outreach mechanisms, corroborated directly with the intended audience, will be required in funded activities. This content will deliberately inform customers on i) why energy storage can be a clear and prudent opportunity, ii) other customers’ experiences utilizing energy storage, iii) how an investment in energy storage can be accessed and structured, and iv) how to do a simple payback analysis for certain distributed energy storage use cases. Consistent, clear, and simple messaging must be articulated as a key element of this strategy.
- Produce case studies, fact sheets, and informational videos, etc. for customers to understand best practices and economics of energy storage projects with clear acknowledgement of the needs of the target audience and best mechanisms to communicate content.
- Produce guides for building owners to increase their knowledge base and recognize the types of building characteristics that make a particular site well suited for energy storage, including energy storage integrated with on-site solar.

- Communicate how these targeted customer segments are typically billed for energy to elucidate opportunities for savings, the details of existing and emerging tariff structures, and specific offerings that guide where and how storage is installed and utilized.
- Organize outreach and events initially geared toward large interval metered customers by leveraging professional networks, and other ongoing training and outreach programming on distributed energy resources that are targeted for this customer class. Outreach events may include, but are not limited to, webinars, tours, presentations, etc. wherein the content produced on energy storage is promoted, outreach lists are grown, and content is distributed.
- Insightfully recognize patterns in outreach effectiveness, and grow and adapt to best serve energy storage customer concerns.
- Leverage reputable 3<sup>rd</sup> party resources, including NY-BEST, CUNY, and other market intelligence firms when developing content.
- Other activities may, as aligned with this Category, also be proposed by the applicant or assigned by NYSERDA as needs arise.

**ii. Subcategory 3b: Required Activities: Industry Education**

- Provide a strategy and plan for implementation for targeted educational programming for an industry audience which may address clarity on: wholesale vs. retail programs, integrating energy storage with on-site solar, net metering rules, aggregation methods, siting concerns, as well as tariff optimization, including the usage of standby rates.
- Provide a strategy and plan for implementation for targeted educational programming on the market potential for energy storage to provide various services based on the maturity of technology, as well as the products and use cases that have been field tested, deployed, and validated nationwide and in the State. In addition, provide a strategy and plan for implementation for targeted educational programming on the market potential for energy storage deployment based on the number of customers that may be willing and able to take advantage of energy storage opportunities, whether currently or under evolving tariff structures. This programming on the market potential for storage would be specifically targeted to entities, including utilities developing programs that may involve distributed energy storage deployment, that may seek to procure energy storage for various needs and require unbiased information. As the utility business model evolves under REV, this information on the capabilities and size of the energy storage market can inform non-wires alternative procurement targets or the confidence AHJs can have in setting energy storage goals.
- Insightfully recognize patterns in outreach effectiveness, and grow and adapt to best serve energy storage industry concerns.
- Leverage reputable 3<sup>rd</sup> party resources, including NY-BEST, CUNY, and other market intelligence firms when developing content.

- In the future as needs arise, engage with NYSEERDA, Department of Public Service staff, and distribution utility staff on interconnection challenges and recommendations, educate vendors on interconnection requirements for energy storage or combined storage/renewable generation systems, and potentially assist with reviewing or providing guidance on interconnection applications.
- Other activities may, as aligned with this Category, also be proposed by the applicant or assigned by NYSEERDA as needs arise.

#### **CATEGORY 4: Data Collection and Analysis for Deployed Energy Storage Systems**

##### **a. Goal**

NYSEERDA seeks contractors to perform data quality control, relationship checks, and analysis on data obtained from energy storage projects receiving NYSEERDA support, as well as potentially other deployed energy storage projects in New York State that originate from outside financing sources. Selected contractors will additionally perform bill analytics for customers to compare savings and revenue pre-and post-deployment of the energy storage solution. Because evaluating storage data requires unique and specialized analysis, NYSEERDA is seeking technical assistance contractors that can provide quality assurance and analysis on performance data. For planning purposes, applicants should base the proposal on evaluating data on approximately 100 energy storage projects including those supported by NYSEERDA and other deployed projects over three to five years beginning in late 2017.

A primary focus of this work will be on the data received from upcoming value stacking pilots. NYSEERDA intends to invest in value stacking pilots and demonstrations under a separate solicitation later this year to assess the effectiveness and value of using a distributed storage system to meet distribution and/or wholesale system needs in addition to those of the host site.<sup>9</sup> Specified data will be required to be reported on by vendors as a condition of receiving funding. The data collected from these energy storage deployments, after being assessed by the contractor selected under this section, will then be input into NYSEERDA's DG Integrated Data System.<sup>10</sup>

For context, the DG Integrated Data System is NYSEERDA's online platform for aggregated use case data and informational materials on distributed energy resources. NYSEERDA is currently evaluating, under a separate solicitation, a data collection and web host platform provider to implement a new iteration of this DG Integrated Data System.<sup>11</sup> The new iteration of the DG Integrated Data System will include energy storage. As detailed in Category 3, the new iteration of the DG Integrated Data System will also house all case study and other education materials. The DG Integrated Data System is a centralized platform that will host this information and a third party is required to develop and validate posted information.

<sup>9</sup> More information on these pilots can be found in the Energy Storage Chapter of NYSEERDA's Reducing Barriers to Deploying Distributed Energy Storage Clean Energy Fund Investment Plan

<sup>10</sup> <http://chp.nyserda.ny.gov/home/index.cfm>

<sup>11</sup> <https://www.nyserda.ny.gov/Funding-Opportunities/Closed-Funding-Opportunities/RFP-3328-DG-Integrated-Data-System-Operation-and-Support>

The contractor(s) selected under this Category will be primarily responsible for conducting quality assurance and then submitting energy storage system performance data to the DG Integrated Data System. The contractor will also be responsible for providing data analysis to NYSERDA and customers as needs arise.

#### **b. Required Activities**

- Receive and manage multiple data channels that will be used to analyze the performance of a distributed storage system. The data channels to be managed will include, but are not limited to, kW and kWh of peak reduction; roundtrip AC system efficiency; peak demand savings and energy arbitrage savings; number of cycles and depth of discharge; and other provided grid services such as wholesale services, utility load relief, and demand response events. Applicants are encouraged to recommend additional data channels in their proposals that should be captured. While a concise number of data channels will be captured on all projects, the customer will be engaged in identifying specific additional data they desire be captured.
- Develop the tools that will be used to complete required quality control and relationship checks to ensure the accuracy of all data channels received.
- Package and relay data received from storage systems to the DG Integrated Data System.
- As more projects are deployed, conduct bill analytics for customer-sited systems to evaluate bill savings and value propositions both pre and post energy storage deployment. In particular, this will help to create more accurate and trusted savings models.
- Partner with NYSERDA to work with other stakeholders, including utilities and government entities such as building and fire departments, as well as the NYC Department of Citywide Administrative Services, to identify useful content for inclusion on the energy storage page on the DG Integrated Data System as a consolidated source of data for use by customers and AHJs.
- Other activities may, as aligned with this Category, also be proposed by the applicant or assigned by NYSERDA as needs arise.

#### **B. Funding and Schedule**

Up to \$8,100,000 may be committed in total through approximately December 31, 2019 for services provided through Task Order Agreements (see Attachment D) resulting from this RFP. NYSERDA anticipates issuing single to multi-year agreements to selected contractors with the option to renew at NYSERDA's discretion. NYSERDA reserves the right to extend and/or add funding to agreements. Task Order Agreements will be negotiated soon after the notification of selection is delivered to successful applicants. While applicants should present multi-year activities in the proposal, care should be paid to the scope of work and budget for near-term activities during the first 12 months to facilitate execution of work as quickly as possible for selected activities.

#### **C. Task Order Agreements**

NYSERDA intends to select a pool of contractors that demonstrate technical merit through this RFP. NYSERDA intends to enter into general Task Order Agreements with the top-ranked applicants in each Category or Subcategory, with the flexibility to request services for a variety of activities. A Task Order Agreement is used because an estimate cannot be made in advance as to the type, amount, and

complexity of all of the work each contractor will be required to perform, although it may contain a maximum dollar amount.

A Task Work Order (“TWO”) will be issued by NYSERDA pursuant to the Task Order Agreement and will consist of the statement of work and a budget for specific projects when services are requested for specific activities pursuant to Task Order Agreements. NYSERDA will exercise the option to use the top-ranked contractor for TWOs or, if multiple contractors are selected with overlapping areas of expertise, NYSERDA may also ask selected contractors for proposals and bids on specific assignments in the future. If the top-ranked contractor is unable to perform work on a specific task (such as because of workload, timeliness, or expertise), NYSERDA may select the next-ranked contractor to implement the work. Selected contractors will support NYSERDA’s activities associated with this RFP subject to satisfactory performance and an option to renew at NYSERDA’s discretion for additional years.

Task Order Agreements are expected to be issued where immediate work is required and a budget is known, as well as in cases where total funding is not yet determined because the full scope of work requires additional input. The amount of work assigned to each contractor will depend on their particular expertise, the amount of work requested in the contractor's technical area, past performance, current workload, deadline requirements, and the ability of the contractor to provide high quality, cost-effective, and timely services. NYSERDA reserves the right to negotiate among finalists to ensure access to specific expertise.

Once a contractor(s) enters into a Task Order Agreement through this RFP, when services are required, NYSERDA will assign a project and negotiate the specific TWO and budget with the contractor, which will become a binding agreement for all parties.

#### **D. Contractor Responsibilities**

NYSERDA expects to issue, to selected contractors, requests for services in each of the support areas. For each such request, the selected contractor shall be required to:

- Negotiate the scope and cost of the technical assistance with NYSERDA;
- Upon agreement by all parties to the TWO, 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 TWO and;
- Provide required documentation of expenditures by task, based on the TWO, when seeking reimbursement from NYSERDA.

#### **E. Compensation**

Activities will be funded based on reaching pre-determined milestones/deliverables and these activities will generally be annual or multi-year in nature with the ability to continue and extend work at NYSERDA’s discretion based on performance. NYSERDA will negotiate each Task Order Agreement (Sample Task Order Agreement attached to this RFP as Attachment D) to establish rates.

Budgets for all work conducted will be included in the individual TWOs and approved by NYSERDA. Each TWO will also place a ceiling or not-to-exceed amount for each project and milestone payment



events that occur upon the completion of specified deliverables. **Contractors will not be compensated for time spent in the preparation of any TWO.** Preparation of the TWO is considered to be covered by the contractor's overhead expense.

## V. PROPOSAL REQUIREMENTS

**A. Submittal:** To be eligible for selection under this RFP, applicants must submit a complete proposal package and agree to the terms and requirements of this RFP. All responses submitted as part of this RFP solicitation process become the property of NYSERDA. Applicants will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals.

**B. Proposal Format:** Proposals should not be excessively long or include unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response. Each page of the proposal should state the name of the proposer, RFP 3407, and the page number. To facilitate comparison of proposals, each proposal must be in the following format:

### 1. Proposal Checklist and Disclosure of Prior Findings of Non- Responsibility

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. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

2. Cover Letter: Applicants must submit a cover letter that references this RFP, identifies Category(ies) to which the proposal responds, provides applicant contact information, and includes a non-proprietary succinct summary of each proposal including identification of key Project Team members and anticipated outcomes.

3. Statement of Work: Applicants must prepare a Statement of Work (SOW) for each Category to which they respond. Although the SOW will be subject to negotiation and NYSERDA approval, and implemented through a Task Work Order, applicants should prepare this SOW with the intent for this SOW to be implemented as written. For Categories 1, 2, and 3, particular care should be given to near term activities within the next 12 months, where applicable. The SOW includes:

- An introductory section describing the proposed work in narrative form that expands on the Cover Letter by fully and specifically addressing the Evaluation Criteria in Section VI.
- Identification of all proposed Tasks. For each Task, as defined by this RFP in each Category and Subcategory or articulated by the applicant, the following must be provided in addressing the required activities listed above: primary goals for the work, proposed approach, deliverables, responsible party, and budget (total and by task).
- Proposed strategy for developing the project described in the SOW so as to target specific market segments, interim milestones, and expected outcomes.
- Particularly for Categories 1 and 3, the proposed implementation strategy for what content will be developed, the target audience, the means of reaching the target audience, and the methods for tracking the effectiveness of the implementation strategy.
- Proposed schedule in weeks following contract execution.
- Recommended metrics to evaluate performance.

- Any additional information that shall convey to NYSERDA how the program shall be conceived and administered.

Selected contractors will be required to submit periodic concise progress reports describing the work performed during the reporting periods, segregated by major project tasks, to NYSERDA's Project Manager no later than 30 calendar days following each quarter. The report shall describe progress, planned activities in the future, challenges encountered and planned solutions, and ability to meet schedule or reasons for slippage.

4. Project Team Personnel and Qualifications: Information on Project Team must include following:

- Identification of the full Project Team and key personnel, including identification of responsibilities associated with each Task, and an organizational chart.
- Identification of the Project Manager, with documentation of management of similar projects.
- Project Team's relevant expertise, experience and general ability to meet the objectives of this RFP. Thorough descriptions must be given of completed projects that illustrate competency in the range of services requested, including references for past relevant projects.
- Identification of relevant past working relationships between contractor and subcontractors.
- Include as an attachment one-page résumés that highlight recent relevant experiences of key individuals (applicant and any subcontractors) who will 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 areas they will be directly involved with.

5. Fee Schedule and Budgets: Applicants must include an overall anticipated budget for the full scope of activities for each Category or Subcategory of services proposed under this RFP, and indicate whether a discount in fees is available if the Applicant is selected for all of the proposed Category or Subcategory. Budgets must be itemized by Category or Subcategory, Task and Subtask. In addition, include a Budget Form (see Attachment C) presenting the specific budget only for the first 12 months of activities for each Category or Subcategory proposed.

Applicants must include a fee schedule for the services proposed under this RFP (See Exhibit E, Project Personnel and Rate Schedule in Attachment D, Sample Agreement). Fee schedules for applicants and all subcontractors shall include: direct labor costs presented by job title, and a range for each job title's hourly rate, which shall be inclusive of all overhead; travel and per diem costs; and other costs. If an applicant is not located in New York State, describe how travel costs will be minimized. NYSERDA may negotiate rates for subsequent years which shall in no event escalate by more than 3% per year.

Cost sharing that includes a contribution from the applicant, project team, or other parties is not required, but highly desirable and will be assessed in the evaluation criteria. If proposal includes cost sharing, a letter of commitment of funds must be provided on the party's letterhead. 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>Applicant</b>	\$	\$	\$
<b>Others (List Individually)</b>	\$	\$	\$
<b>Total</b>	\$	\$	\$

6. Letters of Commitment: Commitment letters for all subcontractors on the Project Team must be provided. Letters of support from key stakeholders and target audience may also be included.

7. Samples of Work: Applicants may include samples of relevant work in a readily-viewable format. Proposals must demonstrate, and quantify where possible, past performance on similar efforts.

8. NYSERDA History: Identify active and completed NYSERDA-funded projects for which the applicant was a contractor or subcontractor over the last five years.

## **VI. PROPOSAL EVALUATION**

Proposals that meet the submission requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. At NYSERDA’s discretion, applicants may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Applicants will be notified if they are requested to attend an interview. Proposals will be evaluated and ranked by the Scoring Committee individually for each of the four categories.

### **GENERAL EVALUATION CRITERIA: ALL PROPOSALS**

Proposed scope of work:

- Proposal is responsive to the requirements of the RFP.
- Proposed services are clearly described and demonstrate a high likelihood of success.
- Proposal demonstrates prior success with similar efforts via submission of samples of prior applicable work and references.
- Proposal includes a clear, well-defined scope of work for all Categories or Sub-Categories to which it responds.
- Proposal, where applicable, leverages existing efforts such as, but not limited to, the PV Trainers Network, outreach activities through the Clean Energy Communities Program, and professional associations, as well as reputable third party resources.
- Letters of commitment from subcontractors (if applicable) and letters of support justify the need for such work.
- Proposal incorporates value-added services that exceed the requirements of the RFP.

Team:

- Project Team is strong; roles of Team members are clearly defined by task, complementary and lend value.

- Project Manager has appropriate skills and expertise.
- Project Team demonstrates technical competence relevant to the RFP's stated goals and specific tasks and subcontractors have successfully collaborated on previous projects, if applicable.
- Project Team demonstrates an ability to effectively deliver services as documented through past success.

Budget:

- Proposed budget is within defined funding limit(s), clearly articulated, and demonstrates cost-effectiveness and value for the stated objectives and deliverables.
- Proposed budget allocation among tasks is appropriate.
- Proposal includes all required budget documents, which are clear and complete.
- Extent to which requested NYSERDA funds are leveraged with co-funding.

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.

**ADDITIONAL EVALUATION CRITERIA BY CATEGORY:**

Category 1: Energy Storage Permitting Guidance

Proposed scope of work:

- Proposal identifies a sound strategy for developing content on siting and permitting, targeted audiences, and methods to reach such audiences.
- Proposal demonstrates a sophisticated understanding of energy storage market trends and regulatory needs in various jurisdictions, and the optimal way to engage with specific AHJs in different municipalities.
- Provides clear and realistic strategic timeline and execution plan for programming related to existing codes and standards compliance and/or the evolution of current codes and standards to reflect best practices.
- Sound strategy is articulated for tracking interest in various topics to ensure that information is effectively presented and distributed.
- Proposal identifies practical methods and tactics on regulatory codes and standards, as well as practical compliance protocols to attain approval for energy storage siting systems under such codes and standards.
- Proposal identifies a reasonable plan for engaging with relevant municipalities and New York State Department of State code staff.
- Proposal demonstrates past performance on similar efforts, with quantifiable statistics, where possible.

Team:

- Demonstrates technical knowledge of battery safety including familiarity with various battery chemistries as well as system integration and power electronics.
- Understanding of existing life safety, electrical, and building codes and relevant industry standards as well as direct exposure to progress among new codes and standards in development.
- Practical demonstrated experience in developing effective requirements for the safe installation of energy storage in a manner that optimizes risk mitigation, safety redundancy, and cost so as to strike the appropriate balance between the highest level of safety and integrity and system cost.
- Project Team includes firefighter experience in addressing and extinguishing building and battery fires including escalation approaches.
- Project Team demonstrates ability to present content in areas relevant to this project and includes exemplary samples of prior, relevant work.
- Demonstrated experience with AHJs, including effectively delivering training, that allows the team to build on existing relationships.

Category 2: Customer Acquisition and Best Fit Customer Data Analytics

Proposed scope of work:

- Proposal identifies a method for attaining data to be analyzed for best fit customer analysis, and reflects the desired timeline of the types customer data to be analyzed over the scope of the project.
- Proposal identifies experience with conducting data analytics based on utility bills and data logging including capacity for analyzing interval meter data, conducting data logging, and iterating key characteristics and algorithms.
- Proposal demonstrates capacity for developing tools that can be used by NYSERDA, customers, and vendors to quickly down-select those customers most likely to benefit from an energy storage system for demand charge reduction and other customer and electric system benefits.
- Proposal presents a compelling approach to identifying and evaluating key customer characteristics that can identify best fit customers for energy storage including sophisticated customer segmentation.
- Proposal provides a realistic scope of work to identify and contact potential customers in an outreach strategy intended to present customers with energy storage opportunities in coordination with NYSERDA, whether through a web based tool or otherwise.
- Proposal demonstrates past performance on similar efforts with quantifiable statistics, where possible.

Team:

- Project Team possesses the necessary background, expertise, and technical experience with evaluating customer load profiles for load management and/or energy storage implementation.

### Category 3: Customer and Industry Education

#### Subcategory 3a. Customer Education

Proposed scope of work:

- Proposal identifies a compelling plan to produce engaging educational content and conduct outreach with a strategy for measuring effectiveness, and includes exemplary samples of prior, relevant online and in-person training.
- Proposal identifies specific topics relevant to NYSERDA's target audiences and designed to improve the deployment of distributed energy storage resources.
- Proposal demonstrates a capacity for targeting and segmenting customer classes that most benefit from outreach and education on distributed energy storage.
- Proposal identifies strategies for translating informational topics into accessible language that can be adapted to the context of how and where such information is deployed.
- Proposal demonstrates past performance on similar efforts with quantifiable statistics, where possible.

Team:

- Project Team demonstrates experience in creating and providing educational and outreach activities and materials and training associated with topics on distributed storage state of commercial deployments, technology readiness, use cases and business models.
- Project Team includes members with technical knowledge of distributed storage state of commercial deployments, technology readiness, use cases and business models, and an understanding of general, regional, and temporal dynamics impacting the deployment of distributed storage in NYS.
- Project Team identifies capabilities to segment the market and identify targeted strategies for relevant audiences where, when and how these audiences consume information.

#### Subcategory 3b. Industry Education

Proposed scope of work:

- Proposal identifies a compelling plan to produce engaging educational content and conduct outreach with a strategy for measuring effectiveness, and includes exemplary samples of prior, relevant online and in-person training.
- Proposal identifies specific topics relevant to NYSERDA's target audiences and designed to improve the deployment of distributed energy storage resources.

- Proposal demonstrates a strategy for tracking and educating industry audiences on distributed energy storage market potential, market rules, relevant tariffs, funding opportunities, and other information that can best animate the market.
- Proposal demonstrates past performance on similar efforts with quantifiable statistics, where possible.

Team:

- Project Team demonstrates experience in creating and providing educational and outreach activities and materials and training associated with topics on distributed storage state of commercial deployments, technology readiness, use cases and business models.
- Project Team includes members with technical knowledge of distributed storage state of commercial deployments, technology readiness, use cases and business models, and an understanding of general, regional, and temporal dynamics impacting the deployment of distributed storage in NYS.
- Project Team identifies capabilities to segment the market and identify targeted strategies for relevant audiences where, when and how these audiences consume information.
- Project Team has experience with NYS utility tariffs and ways in which storage can be utilized and optimized under these structures.

Category 4: Data Collection and Analysis for Deployed Energy Storage Systems

Proposed scope of work

- Proposal identifies experience with managing and presenting distributed energy storage data in a concise, readily understood context.
- Proposal identifies necessary patterns required for data validation to identify quality control and relationship check issues prior to posting system performance data.
- Proposal details the tools that will be utilized for assessing all data channels received from energy storage projects.
- Proposal identifies the types of bill analytics that can be implemented for the purpose of developing case studies that inform more trusted energy storage business models.
- Proposal includes examples of prior relevant work and past performance on similar efforts with quantifiable statistics, where possible.

Team:

- Project Team includes appropriate background, expertise, and technical experience with managing, assessing, and analyzing the types data channels that will be received from energy storage projects.
- Project Team has the requisite experience to analyze technical and financial data to produce validated reports on the effectiveness of a storage unit to provide customer and grid services.
- Project Team has the requisite experience to engage in bill analytics to evaluate value propositions pre and post energy storage deployment.

## 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 <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>.

**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). Applicants should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify applicants in approximately 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 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 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. 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.

**VIII. Attachments:**

**Attachment A:** Proposal Checklist

**Attachment B:** Disclosure of Prior Findings of Non-Responsibility

**Attachment C:** Budget Form

**Attachment D:** Sample Task Order Agreement

**Attachment E:** Instructions for Electronic Proposal Submission

**External Technical Review Assistance  
Request for Qualifications (RFQL) 3323**

Submittals accepted thru July 16, 2018 by 5:00 PM Eastern Time\*  
(or as extended or modified by NYSERDA)

**Program Summary:**

NYSERDA seeks highly qualified external technical reviewers and advisors to review proposals submitted to NYSERDA's various funding opportunities and to provide due diligence analysis and expertise for ongoing projects to help NYSERDA advance innovative energy solutions within four strategic focus areas: advanced buildings, transportation, renewable energy, and smart grids.

NYSERDA's Technology and Business Innovation Group routinely defines energy and environmental challenges within its strategic program focus areas (Advanced Buildings, Transportation, Renewable Energy, and Smart Grid), and then develops funding opportunities that solicit proposals from private or institutional entities for activities and projects addressing those issues.

**Expression of Interest Submission:** Electronic submission is preferable. NYSERDA will also accept submissions by mail or hand-delivery. If submitting electronically, 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.nyserderda.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 RFQL's webpage.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed submittal Checklist following the above guidelines. Mailed or hand-delivered submittals must be clearly labeled and submitted to:

**Jill Baxter, RFQL 3323  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Richard Drake at (518) 862-1090, ext.3258 or [Richard.Drake@nysERDA.ny.gov](mailto:Richard.Drake@nysERDA.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or [Nancy.Marucci@nysERDA.ny.gov](mailto:Nancy.Marucci@nysERDA.ny.gov).

\* 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 NYSEERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSEERDA'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.

## **External Technical Review and Advisory Assistance (RFQL - 3323)**

NYSERDA's Technology and Business Innovation Group seeks highly qualified external technical reviewers and advisors to help us advance innovative energy solutions within four strategic focus areas: advanced buildings, transportation, renewable energy, and smart grids (as described in attachment D).

Additionally, as we continually explore innovation in the production, distribution, and use of clean energy, we encourage individuals with expertise in all aspects of this field to join NYSERDA's cadre of eligible external technical reviewers and advisors.

### **Background**

To ensure that NYSERDA awards contracts on a competitive basis to the maximum extent possible, NYSERDA enlists internal and external technical reviewers and advisors, with no conflict of interest in the outcome, to evaluate every proposal's technical merit and commercial viability.

### **Roles**

We define external technical reviewers and advisors as highly qualified subject matter experts. They may come from academia, private industry, non-governmental sector, or government.

- Technical reviewers evaluate proposals against NYSERDA's organizational goals and the programmatic criteria described in each funding opportunity notice.
- Technical advisors provide due diligence analysis and expertise in the oversight of ongoing projects, and serve as part of a project advisory team.

Reviewers and advisors will generally review one to three proposals or projects in their area of expertise. All external technical experts must sign non-disclosure agreements prior to evaluating any materials (attachment C). All applicants will be reviewed for both roles.

### **Travel and reimbursement**

It is NYSERDA's policy to reimburse external reviewers and advisors for travel and other direct costs should they incur them, but we do not expect travel will be required. We anticipate most, if not all, necessary communication will take place over email, web conferences, and/or telephone.

**How to apply**

Interested individuals must apply electronically by filling out the attached Technical Reviewer Expression of Interest and Registration Form (attachment A) and submitting it, together with a copy of their résumé/CV describing their qualifications. For detailed instructions on how to submit electronically, click the link “NYSERDA Solicitation – User Guide” which is also located on this RFQL’s webpage.

**Contact**

If you have technical questions concerning this request, contact Richard Drake, Program Manager, Technology and Business Innovation via email at [richard.drake@nyserda.ny.gov](mailto:richard.drake@nyserda.ny.gov) or telephone at (518) 862-1090 ext. 3258.

If you have questions concerning about procurement rules around this request, contact Nancy Marucci, Associate Contract Administrator, Contract Management via email at [nancy.marucci@nyserda.ny.gov](mailto:nancy.marucci@nyserda.ny.gov) or telephone at (518) 862-1090 ext. 3335.

**Attachments**

Attachment A – Technical Reviewer Expression of Interest Registration Form

Attachment B – Disclosure of Prior Findings – **Mailed or hand-delivered proposals ONLY**

Attachment C – Reviewer Non-disclosure and Confidentiality Agreement

Attachment D – Current Technology and Business Innovation Focus Areas

**“Low-Income Forum on Energy (LIFE) Implementation Services”**  
**Request for Proposal (RFP) 3461**  
**Up to \$300,000 Available**

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

Proposals Due: March 23, 2017 by 5:00 PM Eastern Time\*

More than 2.3 million households, or 30 percent of the all households in New York State, have annual incomes at or below 60 percent of the state median income (SMI)<sup>1</sup> and are considered income-eligible for payment assistance and no-cost energy efficiency and weatherization services. The financial burden of paying monthly energy bills can leave low-income New Yorkers stretching every dollar. A household's energy burden<sup>2</sup> can be more than 20 percent for low-income households, compared to the roughly 6 percent energy burden of middle-income households. As a result, low-income households have a much smaller budget with which to pay for other necessities such as rent, groceries, medication, and childcare.

Additionally, the New York State low-income energy landscape includes an expansive network of service professionals who work to help low- to moderate-income (LMI) energy customers make ends meet. These are individuals and organizations that either provide service directly to LMI energy customers or administer several publicly-funded programs and initiatives that provide services to these customers. Some of these individuals and organizations set policies that have implications for low-income energy customers.

The Low-Income Forum on Energy (LIFE) initiative was originated by the New York State Public Service Commission (PSC) in 1998, as New York prepared to move to a more competitive retail electric market. The PSC recognized the importance of identifying, discussing, and addressing issues of particular concern to low-income consumers given the changing energy marketplace. To that end, the PSC established LIFE to provide a forum for public dialogue on these issues and to assess the intended and unintended consequences of energy policy decisions on the low-income population. Currently, energy policy and regulatory shifts under Governor Cuomo's Reforming the Energy Vision (REV) initiative will result in changes to the energy marketplace and promise new opportunities for energy customers and communities to gain more control over how they use and source energy. However, many low-income customers and service providers are currently unaware of how they can participate in REV and how it will benefit them. As New York State continues to seek opportunities to improve energy affordability and access to clean energy for low- and moderate-income customers and communities, the expansive low-income landscape warrants a venue for stakeholders to discuss the State's evolving energy policy, updates to programs, and to share best practices and innovative solutions for serving low-income consumers.

To further the LIFE dialogue, NYSERDA requests proposals for implementation services for the LIFE initiative. The selected contractor shall provide:

- Event management, including conference/meeting agenda and content development, webpage hosting and registration infrastructure, marketing assistance, and on-site support.
- Content development services for a monthly electronic newsletter, a monthly webinar series, and social media efforts.
- Stakeholder management services, including interfacing with Salesforce Customer Relationship Management software system and conducting stakeholder outreach/recruitment to increase the number of stakeholders participating in the initiative.

<sup>1</sup> In 2016, 60 percent of the SMI amounts to approximately \$53,000 for a family of four.

<sup>2</sup> A household's energy burden is defined as the ratio of energy costs to income.

- Steering Committee support services, including administrative support for meetings, communication coordination, and subcommittee management.
- Project management and progress reporting.

**Informational Webinar:** NYSERDA will conduct an Informational Webinar on March 8, 2017, 10:00 a.m. – 11:00 a.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=e5911b7f94c82bff5f3d1b1e0e56a4ae1>. Questions may be submitted to [LIFE@nyserda.ny.gov](mailto:LIFE@nyserda.ny.gov) prior to the Webinar and Proposers will also have the opportunity to type in questions during the webinar using the web platform. NYSERDA will post questions and responses on the NYSERDA website 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. 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.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment A 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 3461  
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 Mishel Filisha (Designated Contact) at (518) 862-1090, ext. 3628 or by e-mail [mishel.filisha@nyserda.ny.gov](mailto:mishel.filisha@nyserda.ny.gov) or Chris Coll (Designated Contact) at (518) 862-1090, ext. 3425 or by e-mail [christopher.coll@nyserda.ny.gov](mailto:christopher.coll@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). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

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

## I. Introduction

The Low-Income Forum on Energy (LIFE) is a unique statewide dialogue that brings together organizations and individuals committed to addressing the challenges and opportunities facing low-income New Yorkers as they seek safe, affordable, and reliable energy. Supported by the New York State



Public Service Commission (PSC) and the New York State Energy Research and Development Authority (NYSERDA), the LIFE program is guided by a Steering Committee that is comprised of 22 member organizations that represent key low-income service providers and stakeholders throughout New York State. At 18 years, LIFE has served as the nation's longest-running statewide organization dedicated to furthering the discussion and understanding of low-income energy issues. The LIFE initiative continues to encourage an interactive exchange of information and collaboration among the programs and resources that assist low-income energy consumers. The LIFE initiative fosters this dialogue by hosting meetings and conferences, monthly webinars, and the distribution of an electronic newsletter.

Through this Request for Proposals (RFP), NYSERDA seeks to contract with a firm/consultant/contractor to provide services necessary for the implementation of the LIFE initiative for an initial two-year contract term with two one year options to renew at NYSERDA's discretion. The LIFE initiative is directly managed by a Project Manager from NYSERDA, in consultation with a representative of the New York State Department of Public Service (DPS). The direction of the LIFE initiative and its activities are guided by the LIFE Steering Committee. The Steering Committee is chaired by a representative of the DPS and is comprised of 22 member organizations representing community-based organizations, nonprofit organizations, electric and gas utilities, state and local government, weatherization agencies, and policy/decision makers. To accomplish the various LIFE activities, the Steering Committee often forms subcommittees to address specific tasks.

Outreach and education activities are key to the LIFE mission. Increasing the knowledge of frontline workers can help them to better assist their clients. At the same time, increasing the awareness of low-income energy issues amongst policy makers can impact decision making on matters concerning low-income energy consumers. Outreach takes place through a variety of vehicles including a website (<https://www.nyscrda.ny.gov/LIFE>), conferences and meetings, newsletters, webinars, and electronically-distributed announcements. Since its commencement, LIFE has conducted 10 sets of regional meetings (a total of 54 meetings) and 10 statewide conferences, with an eleventh set of Regional Meetings planned for 2017. The most recent set of regional meetings in April and May 2015 hosted more than 480 participants in seven cities. The 2016 Statewide Conference was held in May 2016 in Albany, NY, with more than 340 participants representing community-based organizations, utilities, state agencies, local government, energy services companies, low-income advocates, and other organizations.

NYSERDA anticipates awarding an initial two-year contract beginning on or about March 2017, with two one year options to renew at NYSERDA's discretion. The proposal and corresponding budget should be submitted assuming an initial two-year contract term not to exceed \$150,000. One contract will be awarded as a result of this solicitation. NYSERDA reserves the right to add additional time and/or funding to the awarded contract.

## **II. Program Requirements**

In order to sustain and grow the LIFE initiative, NYSERDA requests proposals for implementation services that include project management and progress reporting, stakeholder management, support for the LIFE Steering Committee, conference management for the Regional Meetings and Statewide Conference, newsletter and webinar development, and social media management. The Contractor shall possess and demonstrate knowledge of low-income energy and related issues and be able to identify content for webinars and newsletters. The Contractor shall also be able to contribute to the development of conference and meeting agendas, including developing content and identifying topics and speakers.

### **Services Requested**

Consistent with the goals and needs of the LIFE initiative, NYSERDA seeks proposals from contractors to provide services for the following tasks during the initial two-year contract period:

#### **Task 1: Project Management and Progress Reporting**

The Contractor shall be responsible for the timely completion of all required activities per a schedule formalized in the contracted Statement of Work and including Tasks 2 through 7 below.

In addition, communication and progress reporting responsibilities will include but not be limited to the following:

- Coordination of a contract kick-off meeting with relevant NYSERDA and DPS team members, in coordination with the NYSERDA project manager.
- Regular check-in calls to discuss progress, on a minimum bi-weekly basis or as necessary.
- Use of Microsoft Outlook email and calendar functionality to facilitate communication.
- Monthly status reports that include quantitative/qualitative metrics about all initiative activities.
- All reports referenced in Tasks 2 through 7 below.
- Ad hoc reports, as needed.

### **Task 2: Stakeholder Management**

The LIFE stakeholder database is housed using the Salesforce Customer Relationship Management (CRM) software system. The database includes approximately 7,000 individuals interested in low-income energy issues. It includes stakeholder information such as name, organization, mailing address, telephone number, e-mail address, and county of origin. Currently, it contains e-mail addresses for approximately 5,000 individuals. Stakeholder database activities will be supervised by the LIFE Project Manager.

The Contractor shall be responsible for maintaining this database of stakeholder contact information by accessing NYSERDA's Salesforce CRM software system as a permissioned user. In addition, the Contractor shall be responsible for facilitating communications with stakeholders, as needed and in coordination with the NYSERDA Project Manager. Tasks will include, but may not be limited to the following:

- Maintaining a database of stakeholder contacts using NYSERDA's Salesforce CRM software system
- Conducting periodic reviews and updates of stakeholder contact information, including the addition of e-mail addresses of those that are missing.
- Providing content for stakeholder communications such as emails, notifications, and announcements.
- Additional tasks, as directed by the NYSERDA Project Manager.

### **Task 3: Steering Committee and Program Support**

The Contractor shall provide support services to LIFE Steering Committee that include but will not be limited to:

- Facilitating Steering Committee communications such as e-mails and telephone calls.
- Scheduling Steering Committee and Subcommittee meetings.
- Assisting the NYSERDA Project Manager and LIFE Chair in developing agendas and other materials for Steering Committee and Subcommittee meetings.
- Attending Steering Committee and Subcommittee meetings.
- Preparing minutes of Steering Committee and Subcommittee meetings.
- Distributing materials and minutes to the Steering Committee.
- Developing an annual report that documents initiative and Steering Committee activities.
- Coordinating with NYSERDA project management staff to identify and provide content updates to the LIFE website.
- Assisting the Steering Committee with identifying and recruiting new Steering Committee members representing sectors that have previously been under represented in the LIFE Steering Committee and in the LIFE dialogue.
- Additional tasks, as directed by the NYSERDA Project Manager.

### **Task 4: Event Management**

Central to the LIFE outreach and education effort are the Statewide Conference and Regional Meeting Series, which provide stakeholders with opportunities to learn about program developments, best practices, and energy and affordability issues, while also offering the ability to network with colleagues.

**Task 4A – Regional Meeting Series**

The Contractor shall implement a series of seven regional meetings, across New York State during 2017. Specific dates of the Regional Meetings will be determined by the Steering Committee and will be dependent upon venue availability. It is anticipated that the 2017 regional meeting series will be conducted in April-May 2017. Each meeting will be one day and have a target audience of 50 -100 participants with up to 15 speakers.

Planning for the LIFE 2017 Regional Meeting is already in progress. The Contractor shall be responsible for continuing to work in cooperation with the Steering Committee to develop the format and agendas for the Regional Meetings. Registration will be underway at the time the proposed services are contracted. The Contractor shall be responsible for coordinating with the Meeting Registrar toward the seamless execution of registration services. Logistics and planning will be coordinated with the NYSERDA Consumer Services and Events Management (CSEM) team. All tasks are subject to review and pre-approval by the NYSERDA Project Manager. Specific tasks are expected to include, but not be limited to the following:

- Pre-Regional Meeting Tasks:
- Develop a detailed timeline of critical tasks required to implement the Regional Meetings from the commencement of the contract period.
- With direction from the NYSERDA Project Manager, LIFE Chairperson, and in coordination with the Steering Committee, facilitate the development of the meeting agendas.
- Identify topics for inclusion in the agenda for the Regional Meetings.
- Assist with budget development in progress for the Regional Meeting Series, detailing costs for each individual meeting with recommended registration/exhibitor fees, if not already established.
- Coordinate with the NYSERDA Project Manager to invite speakers and coordinate speaker communication.
- Prepare and send speaker packets requesting bio, audio-visual equipment needs, and a copy of each presenter's presentation.
- Coordinate internal receipt of speaker packets
- Develop a site plan for each of the regional meetings, including meeting space set-up, meals, breaks, materials, and needed equipment, in coordination with the Project Manager and CSEM team
- Develop an exhibitor feature for each meeting and solicit exhibitors from but not limited to low-income energy service providers, weatherization providers, state agencies, human service providers, etc.
- For meetings not held in hotel venues, scope out local accommodation hotels for NYSERDA and Contractor staff and make reservations.
- In coordination with the NYSERDA Marketing department and at the direction of the NYSERDA Project Manager, develop content for save-the-date and registration postcards, conference brochures, press releases and other event marketing materials. Printing and distribution will be provided by NYSERDA.
- Develop strategies for reaching under-represented sectors and organizations with the Regional Meeting marketing materials.
- Manage phone inquiries regarding the meetings, triaged from NYSERDA's phone line, if necessary.
- Develop a meeting evaluation form.
- Coordinate scholarship donations from Steering Committee members.

- In coordination with the Steering Committee, NYSERDA Project Manager, and LIFE Chairperson, serve as the main point of contact with presenters and ensure that all presenters are prepared for the meetings.

On-site Regional Meeting Tasks:

- Manage the on-site registration process, including coordinating with the Meeting Registrar regarding accepting credit card payments.
- Provide registrants with registration packets, name badges and proof of payment or an invoice for payment. Have capability to print name badges and registration confirmation on site for people who register in person.
- Develop and provide information packets on the presenters and sessions for the session moderators and session monitors
- Arrange and manage AV equipment: microphones, laptops, projectors, etc.
- Distribute and collect evaluation forms.
- Address any additional presenter or registrant conference need.

Post-Regional Meeting Tasks:

- At the end of each Regional Meeting, review and compile a report based on attendee evaluations.
- Submit Regional Meeting series summary reports to the Steering Committee within 30 days of the final regional meeting. The summary report shall include an executive summary and detail each regional meeting, including but not limited to the following information: members of the content subcommittee; regional agenda; marketing materials/press releases; speaker biographies; participant list; summary of participant evaluations, including recommendations for improvements and participant demographics, etc., and budget summary with all revenue, expenses, and accounts receivable, for each regional meeting.
- Provide a report to the NYSERDA Project Manager and LIFE Chairperson outlining any accounts receivable and with approval, send collection letters.
- Provide all meeting materials and speaker presentations to the NYSERDA Project Manager for inclusion on the LIFE website within a week of the last Regional Meeting, adhering to NYSERDA's accessibility guidelines.

**Task 4B – Statewide Conference**

The Contractor shall implement a statewide conference during 2018. The conference will be a two day event and have a target audience of 350 participants, with approximately 40 speakers. The Contractor shall work with the Steering Committee to develop the format and agenda for the Conference.

The Contractor shall coordinate with NYSERDA's Consumer Services and Events Management (CSEM) department, as directed by the NYSERDA Project Manager, to identify and secure a venue for the Conference. NYSERDA CSEM Events Coordinator will negotiate and execute the contract with the venue and the Contractor shall be responsible for conference implementation including attendee registration. On-site conference management responsibilities will be coordinated with NYSERDA's CSEM department, as directed by the NYSERDA Project Manager.

All tasks associated with the implementation of the Statewide Conference are subject to review and pre-approval by the NYSERDA Project Manager and may require additional coordination with the NYSERDA CSEM department. Specific tasks are expected to include, but not be limited to the following:

Pre-Conference Tasks:

- With input from the NYSERDA Project Manager and Steering Committee Chairperson, determine the dates for the statewide conference and develop a timeline of critical tasks required to implement this conference.

- Propose a budget for the statewide conference detailing all costs with recommended registration/exhibitor fees.
- Identify topics for inclusion in the agenda for the Statewide Conference.
- With direction from the NYSERDA Project Manager and LIFE Chairperson, and in coordination with the Steering Committee, facilitate the development of the conference agenda.
- Assist with coordinating the site selection process for the conference in coordination with the NYSERDA Consumer Services and Events Management (CSEM) Department and the NYSERDA Project Manager.
- Develop a site plan for the conference, to include meeting space, meals, breaks, materials, and equipment.
- Coordinate with the NYSERDA Project Manager to invite speakers and coordinate speaker communication.
- Prepare and send speaker packets requesting a biography, audio-visual equipment needs, and a copy of each presenter's presentation.
- Coordinate receipt of speaker packets
- In coordination with the NYSERDA Marketing department and at the direction of the NYSERDA Project Manager, develop content for save-the-date cards, conference brochures, press releases and other event marketing materials. Printing and distribution will be provided by NYSERDA.
- Develop strategies for reaching under-represented sectors and organizations with the conference marketing materials.
- Facilitate an independently-hosted website containing comprehensive information about the Regional Meetings and including registration infrastructure. Coordinate with the NYSERDA Project Manager and NYSERDA Web Operations on domain name, and if warranted, setup and maintain a custom email address. NYSERDA will retain ownership of any domain names, and The Contractor may be asked to transfer the domain name to NYSERDA's Domain Name Registrar. Work with NYSERDA Project Manager and Web Operations Manager to follow New York State branding guidelines.
- Create, host, and maintain a registration database. Two months prior to the statewide conference, provide weekly registration report to the NYSERDA Project Manager and LIFE Chairperson. The Contractor may be required to transfer database content to NYSERDA at the end of the contract period.
- The Contractor will include the use of a web analytics package, such as Google Analytics, or an equivalent web analytics package. Monthly high-level web traffic reports will be provided to the NYSERDA Project Manager, which will at a minimum, include: User-sessions, Most visited pages, Least visited pages, Top Entrance pages, Top Exit pages, Top Traffic Sources, Top Search Terms leading visitors to the website. NYSERDA will be provided Admin access to analytics, or, NYSERDA will provide Google Analytics tracking code to the Contractor to be included for every page of the website.
- Develop, set-up, host an electronic registration system and manage the registration process for attendees and exhibitors by accepting payments on-line, via e-mail, fax, and by mail. Have capacity to accept credit card payments and process all payments within 48 hours of receipt. Once payment is processed, send confirmation to registrant. The ability to develop and host an independent electronic registration system is a necessary requirement due to NYSERDA being unable to accept payments directly from the public.
- Develop a conference evaluation form.
- Develop an exhibitor feature for each conference and solicit exhibitors from but not limited to low-income energy service providers, weatherization providers, state agencies, human service providers, etc.
- Coordinate exhibitor logistics.
- Coordinate scholarship donations from Steering Committee members.

- Manage phone inquiries regarding the conference, triaged from NYSERDA's phone line.
- Determine volunteer needs and coordinate volunteer recruitment with NYSERDA Project Manager and LIFE Chairperson.
- In coordination with the Steering Committee, NYSERDA Project Manager, and LIFE Chairperson, serve as the main point of contact with presenters and ensure that all presenters are prepared for the meetings.

**On-Site Conference Tasks:**

- Manage the onsite registration process, including accepting credit card payments.
- Provide registrants with registration packets, name badges and proof of payment or an invoice for payment. Have capability to print name badges and registration confirmation on site for people who register in person.
- Develop and provide information packets on the conference presenters and sessions for the session moderators and monitors.
- Arrange and manage AV equipment: microphones, laptops, projectors, etc.
- Distribute and collect evaluation forms.
- Coordinate exhibitor logistics.
- Coordinate volunteer responsibilities.
- Address any additional presenter or registrant conference need.

**Post-Conference Tasks:**

- Submit statewide conference summary report to the Steering Committee within 30 days of the statewide conference. The summary report shall detail the statewide conference, including but not limited to the following information: members of content committee; conference agenda; marketing materials/press releases; speaker biographies; participant list; summary of participant evaluations, including recommendations for improvements and participant demographics, etc., and budget summary with all revenue, expenses, and accounts receivable.
- Provide a report to the NYSERDA Project Manager and LIFE Chairperson outlining any accounts receivable and with approval, send collection letters.
- Provide all conference materials and speaker presentations to the NYSERDA Project Manager for inclusion on the LIFE website within one week from the end of the conference, adhering to NYSERDA's accessibility guidelines.

**Task 5: Newsletter Development**

The Contractor shall work with the NYSERDA Project Manager, LIFE Chairperson, and the Steering Committee to produce a monthly electronic newsletter. The Contractor shall be responsible for newsletter content development. Content areas are expected to include, but not be limited to, updates of NYS low-income energy programs, announcements, best practices, marketing of LIFE events, links to other internet resources, etc. Through NYSERDA Marketing, the newsletter will be distributed to stakeholders on the LIFE mailing list and will be posted on the LIFE website. All tasks are subject to review and pre-approval by the NYSERDA Project Manager. Specific tasks shall include, but not be limited to:

- Developing a schedule for newsletter publication and distribution allowing appropriate lead time for NYSERDA and DPS review and approval.
- Requesting submission from outside parties for content to be included in the newsletter.
- Conducting research for and identifying content for inclusion in the newsletter.
- Editing all content.
- Submitting newsletter drafts to NYSERDA Project Manager and LIFE Chairperson for review and approval.

- Meeting with the LIFE Newsletter Subcommittee periodically to plan newsletter content and discuss improvements, according to need.
- Developing a mechanism for soliciting feedback on the newsletter.

#### **Task 6: Webinar Development and Management**

The Contractor shall work with the NYSEERDA Project Manager, LIFE Chairperson, and the Steering Committee to produce a monthly webinar to present information relevant to the low-income energy community. The contractor shall be responsible for webinar content development. Content areas may include updates of state and federal low-income energy programs, research on issues related to or affecting low-income energy consumers, and best practices. The webinars will be offered at no charge to the stakeholders in the LIFE database and the general public. They will be posted on the LIFE website. Webinars will be hosted by NYSEERDA using a NYSEERDA-licensed webinar platform, but the contractor should have familiarity with webinar software and systems, currently WebEx but subject to change. All tasks are subject to review and pre-approval by the NYSEERDA Project Manager. Specific tasks shall include, but will not be limited to:

- Researching appropriate topics and presenters for the webinar series.
- Developing a schedule for the webinar series and submit to NYSEERDA Project Manager and LIFE Chairperson for approval.
- Coordinating invitations to and communication with webinar presenters.
- Participating in webinar hosting, as needed, as directed by th NYSEERDA Project Management team.
- Developing content for webinar announcements to the stakeholders in the LIFE database.
- Providing content for follow up emails to webinar attendees.
- Developing a mechanism for soliciting feedback on the webinars.

#### **Task 7: Coordinate Outreach through Social Media**

The LIFE initiative currently utilizes two social media platforms regularly (Twitter, YouTube) and two social media platforms on a limited or as needed basis (LinkedIn, Facebook). The initiative would benefit from further developing these platforms in service of its mission. Proposers are invited to include innovative and creative strategies to use social media to further the outreach and education goals of the LIFE program. The Contractor will be responsible for coordinating social media initiatives with NYSEERDA's marketing department. All social media tasks will be conducted at the direction of the NYSEERDA Project Manager and may include:

- Managing social media accounts.
- Developing a plan to further engage stakeholders through the use of social media.
- Drafting messages and announcements for distribution through social media avenues.
- Evaluating the effectiveness of social media outreach.

#### **Contractor's Responsibility**

The selected contractor will be responsible for timely completion of the requirements described in this RFP.

#### **NYSEERDA's Responsibility**

The NYSEERDA Project Manager will be responsible for managing and overseeing all tasks undertaken by the selected contractor, including but not limited to reviewing and approving tasks and subsequent deliverables. The NYSEERDA Project Manager will also facilitate any coordination between the Contractor and the NYSEERDA Consumer Services and Events Management, Corporate Marketing, Website Operations, and Information Technology teams.

### **Available Funds**

Up to \$150,000 is available for an initial two-year contract term, as outlined in this RFP. Additionally, up to \$75,000 per year is available for each of the two one year options to renew, which may be exercised in NYSERDA's discretion. The total funding available through this solicitation is \$300,000.

### **III. Proposal Requirements**

A completed and signed Proposal Checklist must be attached as the front cover of your proposal. **Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.**

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

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

#### **Proposal Format**

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. The proposal must be in the following format:

- RFP Proposal Checklist
- Section 1: Introduction and General Information
- Section 2: Statement of Work
- Section 3: Management Structure and Staffing Plan
- Section 4: Qualifications
- Section 5: Cost Proposal
- Appendices: Resumes of Key Personnel  
Summaries of Prior Work  
References  
Other Supporting Materials

**Proposal Checklist:** The Proposal Checklist to be completed is attached to this RFP.

**Section 1. Introduction and General Information:** Proposers should summarize their understanding of the objectives and requirements of this RFP. Proposers should briefly identify key information about their organization and any proposed subcontractors. Proposers should describe why they believe that they are qualified to perform and complete the services requested under this RFP.

**Section 2. Statement of Work:** The Statement of Work is a detailed work plan of how the Proposer will accomplish the Program's objectives. It is the primary contractual document that identifies the deliverables and provides a basis for payment. The Statement of Work should clearly articulate strategies consistent with the requested Tasks and Program Requirements sections of this solicitation. The Proposer should describe their approach/methodology and define the rationale for the proposed approach. The Statement of Work must be prepared as an ordered set of tasks, including subtasks if necessary. Therefore, each action item should be identified, indicating who will perform it, how it will be performed, when it will be performed, and its anticipated deliverables. In addition to responding to the tasks defined for the requested services, proposers are invited to present additional tasks as long as they promote, or are consistent with, the goals and objectives of the initiative.



**Section 3. Management Structure:** Proposals should identify the Lead Manager and all key team members. Provide a clear description of the roles and responsibilities of each staff position in completing the work plan, including percentage of time devoted to this initiative. Provide an organization chart for this initiative and plan for filling vacant positions in the organizational chart if any. Resumes of all key personnel should be provided as an appendix.

**Section 4. Qualifications:** Describe how the proposer meets the required experience, skills and abilities listed in the first proposal evaluation category below. State the individual and combined expertise that would enable successful completion of the objectives outlined in this RFP. List and briefly explain any relevant experience or projects that have been completed by the proposer. Indicate which individuals were responsible for each project described. Include the name and telephone number of at least three (3) references for whom your organization has completed relevant projects. Summaries of prior work requested in this RFP may be submitted as an appendix.

**Section 5. Cost Proposal:** A two year total project budget, including cost elements, must be provided using the attached Budget Form, (see Attachment C). Provide a task budget that shows total costs and cost elements per task (i.e., complete a Budget Form for the total project and for each task identified in the Statement of Work). If applicable, provide a budget for each subcontractor involved in the project. Provide detailed budget breakdowns (using the Supporting Schedule for the Budget) for materials, equipment, and travel.

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.

Cost Sharing – Cost sharing is an optional budget component. 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):

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

**IV. Proposal Evaluation (100 points available)**

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.

**Relevant Experience and Qualifications (35 points):**

- Has the Proposer displayed knowledge of or familiarity with low-income energy issues?
- Has the Proposer displayed knowledge of or familiarity of low-income issues in New York State?

- Does the Proposer have sufficient resources located in New York State to respond in a timely and efficient manner to all requirements of the scope of work?
- Has the Proposer demonstrated experience working with low-income or energy issues in New York State or elsewhere?
- Does the Proposer demonstrate recent experience in the conduct of similar initiatives?
- Are key personnel's education, skills, abilities, and experience relevant to the initiative's needs?
- Does the Proposer have adequate capacity to handle the initiative's needs, as outlined in the RFP?
- What is the quality of the Proposer's performance on existing or past initiatives, or their achievement related to the proposed work?

**Comprehensiveness of Approach and Management Plan (25 points):**

- Does the proposer demonstrate the ability to meet the needs of the initiative and complete all tasks outlined in the RFP?
- Are appropriate management and coordination strategies articulated?
- Is the initiative organization, including staffing plan and schedule, clear and well-defined?
- Has the proposer demonstrated the ability to institute appropriate data collection and monitoring procedures?
- Does the proposal include a strategy for coordination and interaction with all relevant parties, including NYSERDA, NYS DPS, the LIFE Steering Committee, and stakeholders?

**Responsiveness to the Program Components and Requirements of the RFP (20 points):**

- Has the Proposer demonstrated a clear understanding of the program goals and objectives?
- Is there clear evidence that the Proposer possesses the capacity to implement, coordinate and monitor the initiative?
- Is the proposal thorough, specific, and consistent with the stated objectives?
- Are deliverables clearly stated and consistent with the Proposer's work plan?

**Quality of Written Proposal (15 points):**

- Is the proposal well organized, well written, and complete?

**Value (5 points):**

- How cost effective is the proposal overall?
- How competitive is the cost estimate, relative to other proposals?
- Are indirect and travel costs reasonable?
- Is a cost sharing component included in the budget?

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.

**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 6 weeks from March 23, 2017 whether

your proposal has been selected to receive an award. NYSEERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEERDA agreement.

### **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](#).

### **Website Security**

The website server, databases, and applications shall be constructed so that it is secured against unauthorized threats and complies with guidelines outlined in NYS policy "NYS-S15-OO2 Enterprise Vulnerability Scanning", found at: <https://www.its.ny.gov/document/vulnerability-scanning-standard>.

The website will be scanned for vulnerabilities by NYSEERDA Information Security Officer (ISO) prior to publishing. The website will not be published until the vulnerability scan has been approved by NYSEERDA ISO.

The Contractor will be responsible for applying security patches as they become available. The Contractor will notify the NYSEERDA Project Manager in the event new software features/functionality have been added to the website so that it may be scanned for vulnerabilities. The Contractor will be responsible for remediating any vulnerabilities

**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 Checklist and Instructions for Electronic Submission

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

Attachment C- Budget Form

Attachment D- Sample Agreement

Geomembrane Cover Replacement for the State-Licensed Disposal  
Area at the Western New York Nuclear Service Center  
Request for Proposal (RFP) 3456

Proposals Due: March 30, 2017 by 5:00 PM Eastern Time\*

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals for providing and installing a new geomembrane cover on the State-Licensed Disposal Area (SD)A located at the Western New York Nuclear Service Center (WNYNSC). This Agreement will be to furnish the geo-synthetic material and installation as stipulated in the attached Statement of Work (Attachment E). Additional support services such as testing, surveying, civil construction support will be provided by existing Agreements already in place with NYSERDA.

***Technical questions emailed or called in will be posted with answers to the NYSERDA website RFP 3456. There will be a pre-bid walk down of the State Licensed Disposal Area on March 22, 2017 from 1 p.m. to 5 p.m. to observe the work area and adjacent lands. Questions asked during the walk down will be answered and the questions and answers will be posted on the NYSERDA website RFP 3456 Frequently Asked Questions (FAQs). Attendees are required to bring proper I.D. consisting of driver license, or U.S. passport and not be a foreign national. Sturdy shoes and eye protection will also be required on-site during the walkover.***

***If you wish to attend, please call Christopher Andrzejewski at (716) 942-9940 ext. 4319 to confirm your participation and meeting time and place.***

The term of the contract will be for two years. The contract is expected to start on or about June 1, 2017.

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

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

**Jill Baxter, RFP 3456  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Christopher Andrzejewski, P.E. at (716) 942-9960, ext. 4319, or [Christopher.Andrzejewski@nyserda.ny.gov](mailto:Christopher.Andrzejewski@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507, or [Venice.Forbes@nyserda.ny.gov](mailto:Venice.Forbes@nyserda.ny.gov).

No communication intended to influence this procurement is permitted except by contacting Christopher Andrzejewski (Designated Contact) at (716) 942-9960, ext. 4319, or [Christopher.Andrzejewski@nyserda.ny.gov](mailto:Christopher.Andrzejewski@nyserda.ny.gov). Contacting anyone other than the Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offer; and (2) may result in the proposer not being awarded a contract.

\*Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist will be returned. Faxed or emailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation or a list of frequently asked questions and answers is compiled, notification will be posted on NYSERDA's website at [www.nyserda.ny.gov](http://www.nyserda.ny.gov).

## **I. Introduction**

NYSERDA is seeking proposals for providing and installing a new geomembrane cover on the SDA. NYSERDA's SDA contains 14 disposal trenches that contain radioactive waste. In 1993 NYSERDA covered a portion of the SDA with a very low density polyethylene geomembrane to shed water off the trench cap with intentions of reducing the amount of stormwater infiltration seeping into the trench and mixing with buried waste forming leachate. In 1995 and again in 1999, NYSERDA covered the remaining exposed trenches with similar geomembrane covers in efforts to further reduce infiltration. NYSERDA monitors the geomembrane covers on a routine basis by observation and analytical testing and have determined that the existing geomembrane over trenches 1 through 12 is nearing its useful life expectancy. Placing a new geomembrane cover on the SDA will reduce water infiltration for another 20 plus years while decisions can be made as to the disposition of the SDA.

The success of this contract will be, in part, dependent on securing the services of a highly qualified, experienced geo-synthetics installer with the ability to perform in a highly regulated environment.

NYSERDA has convened a Scoring Committee with representation by NYSERDA and outside personnel knowledgeable in geo-synthetics to assist in the selection of this contractor.

## **II. Program Requirements**

### **A. Services Requested**

The attached Statement of Work (Attachment E) is being circulated to solicit bids from firms with geosynthetics expertise interested in performing the work outlined by this RFP. Work under this contract is expected to begin June 1, 2017 and continue through September 1, 2017.

### **B. Scope of Services to be Provided**

The specifics of the engineering design needed to complete the construction installation of the new cover are described in the attached Statement of Work. The activities outlined in the Statement of Work shall be performed in accordance with Attachment F, *Safety, Training, and Handling of Chemicals and Waste* and all other applicable plans and procedures listed in Attachment H, *Applicable Plans and Procedures*.

The Contractor shall place and manage subcontracts as needed to complete the work activities identified in the Statement of Work. All other health and safety training required by the WVSMP (Radiation Worker I or II, General Employee Training, NYSERDA Site Specific) will be provided, but must be coordinated through the cognizant Project Manager.

### **C. Proposer Qualifications**

NYSERDA seeks proposals from firms that have extensive experience in geosynthetics as exhibited by the following:

- Appropriate educational background, training, certifications and experience of field staff.
- Quality, availability, and depth of the resources to perform the work identified in the RFP
- Soundness of the approach to provide the required services.
- Breadth and depth of prior experience related to the items listed in the Statement of Work.
- Prior work experience at a government facility

#### **D. Division of Responsibilities**

NYSERDA shall provide the following:

- Overall project Management
- Radiation safety support for all applicable on-site field work.
- Industrial health and safety support
- Site-specific training for all contractor employees to allow unescorted access to the SDA.

The Contractor shall provide the following:

- Personnel experienced in the work identified within the scope listed under the Statement of Work.
- Personnel which have proper identification and are not prohibited from working at a federal facility.
- Personnel whom are NOT foreign nationals or non-U.S. citizens from sensitive countries.

### **III. Proposal Requirements**

#### **A. Proposal Content**

The Proposer will be required to submit a fixed fee cost estimate using the Budget Form (Attachment C) as well as a detailed Statement of Work and project schedule. The proposal must clearly identify how the contractor will perform the work and provide all the required services (i.e., specialized sub-contractors).

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number and the page number. A complete response to this Request for Proposals shall include two parts:

#### **Part I - Technical and Management:**

- Completed “Proposal Checklist” Form (Attachment A) - to be attached to the front page of all copies of Part I of the proposal.
- Background/Objectives (one-page maximum).
- Services to be provided (three-page maximum).
- Management Plan (eight-page maximum).
- Current Qualifications Statement that clearly presents the proposer’s education, training and experience relevant to the Statement of Work.
- Plan for meeting the contract participation goals for minority, women, and disabled veteran-owned business enterprises in Attachment G (one-page maximum).
- Letters of commitment from all team members or sub-contractors (if applicable).

#### **Part II - Cost and Disclosures:**

- Disclosure of Prior Findings of Non-Responsibility – “Executive Order 127” Form (Attachment B).
- Cost proposal including sub-task line items with appropriate unit and hourly rates and any other applicable costs or rates included on the attached Budget Form (Attachment C,



instructions included).

- Indictment/Conviction of Felony (if applicable).
- NYSERDA Contracts awarded (if applicable).
- Prior and/or Competing Proposals (if applicable).

In compliance with §139-j and §139-k of the State Finance Law (see Section VI, General Conditions below for additional information), additional forms must be completed and filed with proposals:(1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law; and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

A performance bond and a payment bond, each in the amount of 100 percent of the contract price with a corporate surety approved by the owner, will be required for the faithful performance of the contract.

Attorneys-in-fact who sign payment bonds and/or performance bonds must file with each bond a certified and effective dated copy of their power of attorney.

The party to whom the contract is awarded will be required to execute the Agreement and obtain the performance bond and payment bond within ten (10) calendar days from the date when the notice of award is delivered to the proposers. The notice of award shall be accompanied by the necessary Agreement and bond forms.

The owner within ten (10) days of receipt of acceptable performance bond, payment bond, and Agreement signed by the party to whom the Agreement was awarded shall sign the Agreement and return to such party an executed duplicate of the Agreement. Should the owner not execute the Agreement within such period, the bidder may by written notice withdraw his signed Agreement. Such notice of withdrawal shall be effective upon receipt of the notice by the owner.

## **B. Proposal Evaluation Criteria**

Proposals that meet the aforementioned requirements will be reviewed by a Scoring Committee using the following Evaluation Criteria:

### **1. Technical and Management Criteria:**

- Quality and depth of the resources and support systems necessary to perform services.
- Qualifications of the firm including the educational background, training and experience of key personnel. Key personnel include field, technical, and supervisory and/or project management staff.
- Ability to provide the necessary resources to conduct high quality work in a timely manner.
- Breadth of prior and current experience in providing and installing geosynthetic liners.
- Approach to provide the required services.
-

**2. Cost Criteria:**

- The reasonableness of the unit and hourly rates proposed.
- A comparison of all proposers' total costs and fees as identified in bid documents.

**3. Diversity:**

Efforts to collaborate with and promote MWBEs Interviews may be scheduled to further assess the qualifications of the proposers. After assessing the proposals from the technical and management criteria, cost criteria, and interviews (if necessary), the Scoring Committee will make a recommendation as to which proposer is most beneficial to the WVSMP.

**IV. General Conditions**

**A. Proprietary Information**

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

**B. Omnibus Procurement Act of 1992**

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

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

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

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

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

**C. New York Executive Law Article 15-A**

NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises, and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in Attachment G.

**D. State Finance Law (Section 139-j and 139k)**

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

**E. Diversity Practices**

NYSERDA has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practices of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement shall be required to include as part of their response to this procurement, as described in [Section VI] herein, Attachment I, Diversity Practices Questionnaire.

**F. Tax Law Section 5-a**

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

Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that also must be completed and filed by a perspective contractor prior to contracting with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](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>).

**G. Contract Award**

NYSERDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Scope of Services. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement (Attachment I) to contract successful proposals.

NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under the previous or active NYSERDA agreement.

#### **H. Limitation**

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

#### **I. Disclosure Requirement**

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

#### **VI. Attachments:**

**Attachment A** - Proposal Checklist Form

**Attachment I** - Construction Plans (SOW)

**Attachment B** - Disclosure of Prior Findings of Non-Responsibility Form

**Attachment C** - Budget Form

**Attachment D** - Electronic Proposal Submittal Instructions

**Attachment E** - Statement of Work (SOW), Construction Plans and Technical Specifications

**Attachment F** - Safety, Training, and Handling of Chemicals and Waste

**Attachment G** - Article 15-A (MWBE) Provisions for Solicitation Documents (construction)

**Attachment H** - List of Applicable Plans and Procedures

**Attachment I** - Diversity Practices Questionnaire

**Attachment J** - Performance Bond Form

**Attachment K** - Payment Bond Form

**Attachment L** - Sample Agreement

**Attachment M** - Prevailing Wage Schedule



**Standards and Quality Assurance Services  
Request for Qualifications (RFQL) 3434**

**Proposals Due: February 28, 2017 by 5:00 PM Eastern Time**

**Information regarding upcoming Bidders' Conferences can be  
found here: [www.nyserda.ny.gov/rfq3434](http://www.nyserda.ny.gov/rfq3434)**

The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to establish a pool of qualified service providers to develop and implement quality initiatives in support of several NYSEDA programs and clean energy technologies including, NY-Sun Solar Program, Residential-Single Family, Multifamily, Solar Thermal, Biomass Boilers, and Pellet Stoves. Qualified Proposers will work with the NYSEDA Standards and Quality Assurance team to conduct field inspection and desk review services, implement existing and upcoming standards (technical, installation, data and quality standards) and deliver market-based quality assurance solutions. Proposers qualified under this solicitation will be established as a "Quality Service Provider," instrumental in helping NYSEDA make quality a competitive determinant to drive contractor performance, build consumer and investor confidence and accelerate adoption of clean energy solutions in New York.

Interested Proposers may submit their qualifications to support either one or both Service Categories:

- 1) Service Category 1: Field Inspection and Desk Review Services
- 2) Service Category 2: Quality Methods, Standards and Technical Assistance

NYSERDA anticipates qualification of one or more Proposers for each Service Category. Service Category 1: Field Inspection and Desk Review services will be awarded by program and technology area and contracted to support one or more geographical regions. Awards for Service Category 1 are anticipated to be for one year, with the option of two annual renewals at NYSEDA's discretion. Service Category 2: Quality Methods, Standards and Technical Assistance will be awarded by program and technology area, with statewide responsibility. Awards for Service Category 2 will be assigned with a specified period of performance determined by NYSEDA based on the task requirements and final scope of work. NYSEDA reserves the right to extend and/or add funding should other program funding sources become available. NYSEDA intends to periodically re-evaluate its qualified consultant pool and may reissue this RFQL to expand its qualified consultant pool on an annual or more frequent basis.

**Informational Webinar**

NYSERDA will conduct an **Informational Webinar** on **February 8, 2017, 11:00 a.m. – 12:00 p.m.** Eastern Time during which NYSEDA will review the requirements of this solicitation and answer questions. Proposers who intend to participate can send an email to [RFQL3434info@nyserda.ny.gov](mailto:RFQL3434info@nyserda.ny.gov) with the subject line "RFQL 3434 Webinar" to request information on how to participate. Questions may be submitted via the same email address prior to the Webinar and Proposers will also have the opportunity to type in questions during the webinar using the web platform. NYSEDA will post questions and responses on the NYSEDA website after the Webinar. All questions will be posted anonymously, and NYSEDA'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. All proposals must be received by NYSERDA by 5 PM on February 28, 2017.

If submitting electronically, Proposers must submit the proposal along with **Attachments A, B, C, D-1, D-2 and E** in either PDF or Microsoft (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 RFQL's webpage, which is located in the "Current Opportunities" section of NYSERDA's website: <http://www.nysesda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>

See **Attachment F** of this RFQL for instructions on how to submit electronically.

If mailing or hand-delivering, Proposers must submit two (2) paper copies of their proposal including **Attachments A, B, C, D-1, D-2 and E** 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:

**RFQL 3434**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact the following Project Managers (Designated Contacts):

- Andrew Van Gorder at (518) 862-1090, ext. 3513, [Andrew.VanGorder@nysesda.ny.gov](mailto:Andrew.VanGorder@nysesda.ny.gov)
- Kim Lenihan at (518)-862-1090, ext. 3410, [Kim.Lenihan@nysesda.ny.gov](mailto:Kim.Lenihan@nysesda.ny.gov)

If you have contractual questions concerning this solicitation, contact Elyda Sheldon at (518) 862-1090, ext. 3232, [Elyda.Sheldon@nysesda.ny.gov](mailto:Elyda.Sheldon@nysesda.ny.gov).

No communication intended to influence this procurement is permitted except by contacting the Project Managers (Designated Contacts) listed above. Contacting anyone other than these Designated Contacts (either directly by the Proposer or indirectly through a lobbyist or other person acting on the Proposer's behalf) in an attempt to influence the procurement may result in: (1) a Proposer being deemed a non-responsive offeror, and (2) 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 proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at [www.nysesda.ny.gov](http://www.nysesda.ny.gov).

## I. INTRODUCTION

NYSERDA's Clean Energy Fund (CEF)<sup>1</sup> is a core component of Governor Cuomo's Reforming the Energy Vision (REV), designed to achieve a clean, resilient and affordable energy system for all New Yorkers. The CEF reduces the cost of clean energy by accelerating adoption of energy efficiency to reduce load while increasing renewable energy to meet demand. NYSERDA's filings<sup>2</sup> are designed to complement the related initiatives championed by New York State, including the New York State Public Service Commission's REV regulatory proceeding<sup>3</sup> and its Clean Energy Standard proceeding.<sup>4</sup>

NYSERDA has designed the CEF to pursue three long-term outcomes: thriving and self-sustaining clean energy industries able to operate without subsidies; greater levels of private capital invested in clean energy and jobs in New York; and significant reductions in greenhouse gas (GHG) emissions from the state's energy sector. Our new program approaches are intended to enable NYSERDA to achieve the high-level State policy goals identified in the 2015 State Energy Plan including GHG reduction, energy efficiency, generation through renewable sources, and expansion of the clean energy economy.

CEF investments will be made across four program portfolios, the **two bolded below will be served by Proposers qualified under this RFQL:**

- **Market Development**, which will align with the REV Regulatory Proceeding and evolving utility strategies to reduce barriers, animate consumer demand for clean energy, and enable the private markets to provide the new products and services sought by an engaged consumer market;
- NY Green Bank, which seeks market transformation in the financial sector, leveraging public investment with private capital in a self-sustaining manner while reaching new markets for clean energy services; and
- **NY-Sun**, which seeks to create a robust and self-sustaining solar market in New York State for solar electric technologies, and to build a program approach for other clean technologies to follow.
- Innovation and Research, which will catalyze the development of innovative clean energy solutions, while growing New York's clean tech sector and accelerating the development and introduction of the new technologies that will be needed to foster increased levels of GHG reductions.

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<sup>1</sup> Case 14-M-0094 - Proceeding on Motion of the Commission to Consider a Clean Energy Fund; Case 10-M-0457 – In the Matter of the System Benefits Charge IV; Case 07-M-0548 – Proceeding on Motion of the Commission Regarding an Energy Efficiency Portfolio Standard; Case 03-E-0188 – Proceeding on Motion of the Commission Regarding a Retail Renewable Portfolio Standard; Case 13-M-0412 – Petition of the New York State Energy Research and Development Authority to Provide Initial Capitalization for the New York Green Bank. *Order Authorizing the Clean Energy Fund Framework*, issued and effective January 21, 2016.

<sup>2</sup> As of January 22, 2017, NYSERDA had launched several programs outlined in earlier filing of the [Resource Acquisition Transition Chapter](#) of its Clean Energy Fund Investment Plan; additional chapters describing further interventions will follow during 2017.

<sup>3</sup> Case 14-M-0101 – Proceeding on Motion of the Commission in Regard to Reforming the Energy Vision. *Order Adopting Regulatory Policy Framework and Implementation Plan*, issued and effective February 25, 2015.

<sup>4</sup> Case 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard.

## **II. QUALITY OVERVIEW**

**Background:** NYSERDA's quality services are designed to help ensure the integrity of the programs funded by NYSERDA. NYSERDA has supported, and will continue to support, third-party field inspection services necessary to assess contractor performance and identify corrective action needed to ensure projected performance and longevity of clean energy technologies and services. These inspection services are currently provided at no cost to New York participants for several legacy programs including, but not limited to, NY-Sun Residential/Small Commercial Program, NY-Sun Commercial/Industrial Program, Solar Thermal Incentive Program, Home Performance with ENERGY STAR® and EmPower New York.

**Programs to be served under this solicitation:** NYSERDA seeks to competitively select qualified service providers to continue inspection services or commence new field inspection services for recently approved programs and assist with standards and quality methods development, as needed for the following programs:

- NY-Sun
  - Residential and Small Commercial Solar (<200kW)
  - Commercial and Industrial Solar (>200kW)
- Renewable Heating and Cooling Technologies
  - Solar Thermal
  - Biomass Hydronic Boilers
  - Pellet Stoves
- Residential – Single Family (1-4 units)
- Multifamily (5+units)

NYSERDA anticipates issuing future solicitation(s) to seek further support for standards and quality assurance services, including support for recently approved Market Development and Innovation and Research initiatives funded under the Clean Energy Fund. It is also anticipated that NYSERDA will re-evaluate the quality services providers qualified under this solicitation on a frequent basis as needed.

**Data Systems:** NYSERDA has transitioned toward a centralized quality assurance function to more cost effectively track performance, identify trends and ensure transparency of program standards and contractor performance across NYSERDA's programs. A centralized quality data system managed by NYSERDA, the Quality Assurance Contractor Scoring System (QACSS), was launched in July 2015 to manage inspection scheduling, field data collection, corrective action tracking and reporting functions. Currently the QACSS is fully deployed for the Residential Single Family Program. It is anticipated that the NY-Sun Program will have a fully centralized quality data collection system beginning in early 2017. Other lower volume Programs will be managed by the qualified services provider using MS Excel or other format acceptable to NYSERDA.

Proposers qualified to conduct Field Inspection and Desk Review services for Residential Single Family and NY-Sun Programs must become familiar with the QACSS and will be provided with secure access for designated employees. It is anticipated that the QACSS will be used to schedule inspections, record field observations, notify participating contractors of inspection findings, track corrective action and generate summary reports.

**Anticipated Volume of Work and Geographic Coverage:** There are four geographic regions outlined in **Appendix 1: Regional Map and Inspection Estimates**.



**Field Inspection Checklists:** Work conducted under Service Category 1 will require the use of inspection checklists that outline the qualitative and quantitative data to be collected for each Program and Technology Area outlined in **Appendix 2: Program Descriptions**. Experience has shown inspections to require 2 – 3 hours on-site to complete data collection. Proposers should review **Appendix 3: Field Inspection Checklists**, giving particular attention to each Program/Technology Area of interest.

**Reporting:** NYSERDA has developed report templates for the automated issuance of reports to participating contractors via the QACSS. The Residential-Single Family program currently uses the QACSS to allow participating residential contractors access to the Job Score Report (JSR) and the Corrective Action Report (CAR) that result from findings documented during the field inspection. The QACSS module for the NY-Sun Residential and Small Commercial PV Program is currently under development. The new module will include functionality for inspection scheduling, field data collection, corrective action tracking and reporting. All other program and technology areas will use report templates developed by NYSERDA for use outside the QACSS. See **Appendix 4: Sample Reports**.

### **III. RANGE OF SERVICES**

NYSERDA seeks qualified Proposers for either one or both of two Service Categories requested under this solicitation. Further details regarding requested services are outlined below.

#### **1. Service Category 1: Field Inspection and Desk Review**

Proposers with expertise in delivering field inspections and desk reviews, and possess required professional credentials, knowledge of energy efficiency, renewable energy, building science, applicable New York State code, and industry-recognized quality protocols will be considered for qualification as a “Quality Services Provider” to conduct field inspection and desk review services.

Inspection services may include non-standard inspections involving post inspection follow-up, administrative or field inspections of flagged projects, and other requested activities at NYSERDA’s discretion. All potential non-standard inspections will be identified by NYSERDA or the respective Program Implementer, and NYSERDA will approve the preliminary work scope and notify the Quality Services Provider. NYSERDA will then work with the provider to revise the work scope, if necessary, determine the budget, and schedule the specified work. The Quality Services Provider and NYSERDA shall agree to a final work scope and total cost in writing, and no work shall commence without written approval from the NYSERDA Project Manager.

#### **2. Service Category 2: Quality Methods, Standards and Technical Assistance**

NYSERDA seeks experienced firm(s) to assist NYSERDA in transitioning toward market-based quality assurance strategies and researching and recommending the application of existing standards and quality methods to help accelerate market adoption of energy efficiency and renewable energy technologies. This transition will 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. It is anticipated that market-based strategies will highlight the work of high-performing providers, promote competition, increase consumer confidence, encourage investment in high impact practices and technologies and encourage growth in the clean energy sector.

Activities funded under this solicitation may include, but not be limited to, successfully implement quality assurance methods, data standards, technical and installation standards, professional

certifications, and company accreditation as needed to build consumer and investor confidence. Specific tasks may include, but not be limited to, research current and upcoming standards and methods applicable to the clean energy sector, recommend quality strategies for specific markets, in-field measurement and verification of applied technical and installation standards, development and deployment of contractor performance ratings, development of quality score cards, Pareto<sup>5</sup> analysis, and overall support for new market-based quality assurance strategies. Several broad areas of NYSERDA interest regarding Proposer qualifications are generally defined below:

- **Quality Methods** – Quality practices and methods recognized by the industry, founded in and make recommendations to promote efficient markets by increasing confidence in clean energy technologies and services in New York State.
- **Market-Based QA Strategies** - Market-based quality assurance strategies will be developed, deployed and supported through awards under this solicitation in partnership with NYSERDA. Activities may include researching consumer needs, implementing standards and workforce credentialing, standardizing data sets to more readily share performance data, promoting competition among clean energy providers by publicly sharing key quality and performance attributes (energy saved per square foot, realization rate (actual savings/estimated savings), health and safety, responsiveness, customer satisfaction) anticipated to help drive consumer choice and build consumer confidence.
- **Data Standards** – The U.S. Department of Energy (DOE) and other stakeholders have supported the development of consensus industry data standards to enable state governments, customers, utilities, financiers, clean energy companies, entrepreneurs, and other stakeholders to exchange energy and quality data. Below are two examples of interest relative to data standards:

*Example 1: Data for solar energy system performance and electricity production is widely used throughout the industry by developers, utilities, consumers, and financial institutions. The Orange Button<sup>SM</sup> initiative was launched in 2016 to increase solar market transparency and fair pricing by establishing data standards for the industry. Solar data sets currently provided under OpenNY, aligned with such data standards, could be further offered through accessible, self-sustaining, industry-regulated data marketplaces to improve the ability of apps, software, and other websites to store and use energy data for the solar industry. These data marketplaces will in turn help industry more rapidly share quality data resulting in the competitive benefits of lower cost and better performance.*

*Example 2: Data for residential and business consumers, using the Green Button standard, allows electricity customers ready access to their detailed household or building electricity usage information from their utility website, in a common consumer- and computer-friendly format. Innovative Green Button Applications use customer-downloaded data to help consumers and clean energy providers explore and manage energy usage, perform a virtual energy audit, program home energy management devices, properly size clean energy solutions, make clean energy investment decisions and verify energy savings more cost-effectively.*

- **Technical Standards** – Building science and technology-specific technical standards, including, but not limited to, standards developed by the following entities listed in alphabetical order: Air Conditioning Contractors of American (ACCA), Association of Energy Engineers (AEE),

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<sup>5</sup>Pareto Analysis – Bar graph where the lengths of the bars represent frequency, and are arranged with longest bars on the left and the shortest to the right to visually depicts more significant defect occurrences. Excerpted from Nancy R. Tague's [The Quality Toolbox](#), Second Edition, ASQ Quality Press, 2005, pages 376-378.

American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE), Building Commissioning Association (BCA), Building Performance Institute (BPI), International Ground Source Heat Pump Association (IGSHPA), Passive House, Residential Energy Services Network (RESNET), U.S. Green Building Council (USGBC) Leadership in Energy and Environmental Design (LEED), and others.

- **Installation Standards** – Technology-specific standards for the design, installation and operation of energy efficiency and renewable energy technologies including, but not limited to: air-source heat pumps, ground source heat pumps, air sealing and insulation, small wind, fuel cells, combined heat and power, anaerobic digesters, home energy monitoring, and real-time energy management systems.
- **Workforce Certification and Company Accreditation** – Professional credentials related to the proper sizing, installation and operation of energy efficiency and renewable energy technologies and related auditing, commissioning and quality control processes. Professional credentials are available through several organizations including, but not limited to, ACCA, AEE, BCA, BPI, International Ground Source Heat Pump Association (IGSHPA), North American Board of Certified Energy Practitioners (NABCEP), Passive House, RESNET, Underwriter Laboratories (UL), and others.

#### **IV. ANTICIPATED AWARDS UNDER THIS SOLICITATION**

##### **A. Overview**

NYSERDA anticipates qualification of one or more Proposers within each Program/Technology Area for each Service Category indicated in Table 1 below:

**Table 1: Required Services by Program and Technology Area**

<b>Program/Technology Area</b>	<b>Service Category 1: Field Inspection and Desk Review</b>	<b>Service Category 2: Quality Methods, Standards and Technical Assistance</b>
Residential – Single Family (1-4 units)	X	X
Multifamily (5+ units)		X
Renewable Heating and Cooling Technologies <ul style="list-style-type: none"> <li>• Solar Thermal</li> <li>• Biomass Hydronic Boilers</li> <li>• Pellet Stoves (Residential)</li> </ul>	X	
NY-Sun <ul style="list-style-type: none"> <li>• Residential/Small Commercial Solar (&lt;200kW)</li> <li>• Commercial/Industrial Solar (&gt;200kW)</li> </ul>	X	X

Funding will be allocated through individual Task Work Orders (TWO(s)) to qualified Proposers as assigned by NYSERDA. NYSERDA reserves the right to determine the service period, funding level, and specific tasks to be included in all TWO(s) issued to qualified Proposers.

All Proposers qualified through this RFQL will enter into zero-dollar value Umbrella Agreements enabling NYSERDA to retain their services for the Program/Technology Area(s) and Service Category(ies) in which they have been qualified. In all cases, standard inspection rates and hourly rates to implement any TWO shall be consistent with those in the general Umbrella Agreement and must be reviewed and approved by NYSERDA before implementation.

#### **B. Anticipated Awards Service Category 1: Field Inspections and Desk Review Services**

NYSERDA anticipates qualifying one or more Proposers for each Program/Technology Area. These services may be separately awarded for one or more geographical regions, or statewide (see **Appendix 1: Regional Map and Inspection Estimates**). If the top ranked qualified Proposer for a given Region (or statewide) is unable or unwilling to cost-effectively fulfill the requirements of the TWO within the required timeframe, NYSERDA will issue, in whole or in part, at NYSERDA's discretion, a TWO to the next ranked qualified Proposer for the Region (or statewide) and designated Program/Technology Area. NYSERDA strongly encourages proposals from firms with employees located within the identified geographic regions that have the requisite technical skill set and field experience. Proposals that do not include regionally located staff must demonstrate the ability to deliver cost-effective and responsive services to the region (or statewide).

Awards for Service Category 1: Field Inspection and Desk Review services are anticipated to be for one year, with the option of two annual renewals at NYSERDA's discretion. NYSERDA reserves the right to extend and/or add funding should other program funding sources become available.

#### **C. Anticipated Awards Service Category 2: Quality Methods, Standards and Technical Assistance**

NYSERDA anticipates qualifying one or more Proposers for each Program/Technology Area. Service Category 2: Quality Methods, Standards and Technical Assistance services will be awarded to qualified Proposers by Program/Technology area, with statewide responsibilities.

The specific services and service period awarded to a qualified Proposer will depend on NYSERDA needs and the Proposer's expertise, rates, staff availability, responsiveness, and overall performance during the service period. Depending on the scope of work and period of planned performance, NYSERDA may issue a TWO directly to a specific qualified Proposer or use a mini-bid process to select one from the qualified pool. Deliverables and schedule for each TWO will be established at the time of issuance.

Awards for Service Category 2: Quality Methods, Standards and Technical Assistance will be assigned with a specified period of performance determined by NYSERDA based on the task requirements and final scope of work. NYSERDA reserves the right to extend and/or add funding should other program funding sources become available.

#### **D. Award Considerations and Restrictions**

NYSERDA intends to re-evaluate its qualified consultant pool on an annual or more frequent basis and may reissue this RFQL to expand support as needed. NYSERDA's upcoming solicitation, Request for Proposal (RFP) 3447 Technical Services for New York Residential Single Family Program.

**PLEASE NOTE:**

**Proposers qualified under RFQL 3434 Service Category 1:** Field Inspection and Desk Review for the Residential Single Family Program/Technology Area may not also serve as the Technical Services Contractor awarded under upcoming Request for Proposal (RFP) 3447.

**Proposers qualified under RFQL 3434 Service Category 2:** Quality Methods, Standards and Technical Assistance may serve in other capacities under contract with NYSERDA for related Program/Technology Areas (including the Technical Services Contractor awarded under RFP 3447), provided there is no perceived or demonstrated conflict of interest as determined by NYSERDA.

**V. SPECIFIC SERVICES REQUESTED**

**A. Service Category 1: Field Inspection and Desk Review Services**

**Successful Proposals.** It is anticipated that awards under this Service Category will result in measurable reductions in energy use and carbon emissions in relevant Programs. A successful proposal will include qualifications and experience that will:

- Promote quality resulting in measurable reductions in energy use and carbon emissions;
- Drive down the cost of Program expenditures needed to achieve a unit of energy savings or carbon reduction;
- Increase consumer confidence in clean energy projects and equipment purchases.

Preference will be given to proposals that include qualifications and experience aligned with one or more of the three bullets above. Specific areas subject to Proposer qualifications by Program/Technology Area are defined below.

**1. Residential Single Family**

Proposers qualified under this solicitation will serve both market sectors (Market Rate and Low to Moderate Income). The projected number of inspections required by region are presented in **Appendix 1: Regional Map and Inspection Estimates**. There is a limited number of inspections required for Nassau and Suffolk counties through June 30, 2017, then Region 4 will include only Orange, Putnam, Westchester, Rockland, Bronx, New York, Richmond, Queens, Kings Counties.

Proposers must submit bids for ALL “Inspection Types” as outlined by Project Type and Market Sector in **Table 2** below using **Attachment D-1: Bid and Rate Sheet**. Proposals that do not have a bid price specified for each Inspection Type will not be considered.

**Table 2: Type of Inspection by Project Type and Market Sector**

<b>Project Type</b>	<b>Market Sector</b>	<b>Inspection Type</b>
Comprehensive or Single Measure requiring blower door testing	LMI & Market	Field Inspection: Comprehensive
Electric Reduction Measures	LMI	Field Inspection: Electric Reduction
Special requests by NYSERDA	LMI & Market	Non-Standard Inspection

## 2. NY-Sun Solar Incentive Programs

### a. NY-Sun Residential and Small Commercial Incentive Program

It is anticipated that Field Inspections and Desk Reviews for the NY-Sun Residential and Small Commercial Incentive Program will begin transitioning to the newly qualified Proposer(s) under this RFQL beginning as soon as possible upon award, with full responsibility by spring 2017.

### b. NY-Sun Commercial and Industrial Incentive Program

It is anticipated that Field Inspections and Desk Reviews for the NY-Sun Commercial and Industrial Incentive Program will begin transitioning to the newly qualified Proposer under this RFQL beginning spring 2017, with full responsibility beginning July 1, 2017.

## 3. Renewable Heating and Cooling Technologies

### a. Solar Thermal

It is anticipated that Field Inspection and Desk Review for the Solar Thermal Program will begin transitioning to the newly qualified Proposer(s) selected under this RFQL as soon as possible upon award, with full responsibility by spring 2017.

### b. Biomass Boilers

It is anticipated that Field Inspections and Desk Reviews for the Biomass Boiler Program will transition to the newly qualified Proposer(s) under this RFQL as soon as possible upon award, with full responsibilities by spring 2017.

### c. Residential Pellet Stoves

It is anticipated that Field Inspections and Desk Reviews for the Residential Pellet Stove Program will begin transitioning to the newly qualified Proposer(s) selected under this solicitation beginning spring 2017, with full responsibilities by July 1, 2017.

## B. Service Category 2: Quality Methods, Standards and Technical Assistance

**Successful Proposals.** It is anticipated that awards under this Service Category will result in quality initiatives that quantitatively drive consumer and investor confidence in clean energy technologies. A successful proposal will include qualifications and experience that will:

- Demonstrate the knowledge and skills necessary to leverage quality interventions to advance the goals of the State Energy Plan / Clean Energy Fund / REV, improving resilience and reducing greenhouse gas emissions;
- Demonstrate how the market-based quality strategy can be replicated in New York State to achieve goals of the Clean Energy Fund and REV;
- Have the resources (human and financial) to involve industry, regional and national stakeholders, and consumers to achieve quality goals;
- Promote quality protocols resulting in measurable reductions in energy use and carbon emissions.

Preference will be given to proposals that include qualifications and experience aligned with one or more of the four bullets above. Specific areas of interest subject to Proposer qualifications by Program/Technology Area are defined below.

## 1. Residential Single Family

NYSERDA seeks qualified Proposers to support quality methods and standards deployment in the Residential-Single Family market. Qualifications are sought in the following areas:

- Quality Methods
  - o Assist with continuous improvement of NYSERDA's current quality protocol, develop quality score cards and complete quality data analysis including Pareto and other statistical and trend analysis.
  - o Research and recommend quality performance indicators and other quality criteria important to consumers, contractors and financial investors with interest in savings guarantee or aggregated savings cash flows.
  - o Recommend, develop and implement sustainable quality methods that preferably engage professional associations and other interested stakeholders.
- Market-based QA
  - o Research, recommend and develop strategies to drive consumer choice and build consumer/investor confidence by publicly sharing quality performance results.
  - o Assess the potential impact, recommend deployment strategy and implement a contractor performance rating system based on responsiveness, customer satisfaction, health and safety, job performance and other quality indicators.
- Standards and Technical Assistance
  - o Recommend and assist with the implementation of appropriate standards and protocols, including, but not limited to data standards, technical standards and installation standards to ensure quality and improve consumer confidence.
  - o Review, recommend and support the field application of workforce certifications and company accreditation to help achieve clean energy goals.
  - o Other technical assistance as defined by NYSERDA.

## 2. Multifamily

NYSERDA seeks qualified Proposers to support quality methods and standards deployment in the multifamily market. Qualifications are sought in the following areas:

- Quality Methods
  - o Research and recommend quality performance indicators and other quality criteria important to building owners, managers and financial investors providing project capital, loans, or guarantee of savings and aggregated cash flow.
  - o Complete quality data analysis including Pareto and other statistical and trend analysis.
  - o Recommend, develop and implement sustainable quality methods that preferably engage professional associations and other interested stakeholders.
- Market-based QA
  - o Research, recommend and develop strategies to drive consumer choice and build consumer/investor confidence by publicly sharing quality performance results.
  - o Assess the potential impact and recommend a strategy for deploying a service provider performance rating system based on responsiveness, customer satisfaction, health and safety, job performance and other key performance indicators. The strategy may leverage both public and private sector resources, tools, software and rating platforms.

- Standards and Technical Assistance
  - Recommend and assist with the implementation of appropriate standards and protocols (e.g. data standards, technical standards, installation standards, Investor Confidence Project (ICP), building energy rating systems, etc.) to ensure quality and improve consumer confidence.
  - Support the field application of standards and practices to bring certified, standardized, bankable energy efficiency to the multifamily market.
  - Make recommendations for growing the independent credentialed Project Developer and QA provider network of ICP and other protocols, as appropriate.
  - Help deploy a strong ICP QA provider network in New York State.
  - Revise, develop, and pilot existing or new standards applicable to high performance buildings and buildings undergoing deep energy retrofits.
  - Provide in-field measurement and verification of applied technical and installation standards including:
    - Building energy rating systems
    - Energy benchmarking and public disclosure ordinances
    - High performance buildings and deep energy retrofits
  - Impact and gap analysis of professional credentials needed to strengthen the provider industry.
  - Other technical assistance as defined by NYSERDA.

### 3. NY-Sun Solar Incentive Programs

NYSERDA seeks qualified Proposers to support quality methods and standards deployment in the solar market. Qualifications are sought in the following areas:

- Quality Methods
  - Research and recommend quality performance indicators and other quality criteria important to system owners and investors.
  - Assist with development and deployment of quality methodology for the NY-Sun commercial/industrial solar installations to more cost-effectively assess project quality and overall effectiveness in delivering projected energy.
  - Complete quality data analysis as needed to guide quality methods development.
- Market-based QA
  - Assess, develop and deploy strategies to help drive consumer choice and build consumer confidence by publicly sharing performance results.
  - Support implementation of industry standards, including, but not limited to, standards developed under the Solar Quality Initiative - National Renewable Energy Laboratory (NREL) Solar Access to Public Capital (SAPC).  
<http://www.solarquality.org/nrel-sapc.html>
  - Assess the potential impact and recommend deployment strategy for a performance rating system based on responsiveness, customer satisfaction, health and safety, job performance and other key performance indicators.



- Standards and Technical Assistance
  - Support the field application of data standards, including, but not limited to the U.S. DOE Orange Button Solar Energy Data Initiative and other technical standards, installation standards and practices to ensure quality and improve consumer confidence.
  - Review, recommend and support the field application of workforce certifications and company accreditation to help achieve clean energy goals.
  - Other technical assistance as defined by NYSERDA.

## **VI. QUALIFICATIONS**

### **A. General Eligibility Requirements**

All Proposers, regardless of the Service Category being proposed, must possess the following minimum, basic qualifications:

- Understanding of goals and objectives of the Clean Energy Fund and NYSERDA’s mission
- Exceptional communication skills and ability to manage conflict
- Demonstrated expertise in appropriate energy efficiency and renewable energy technologies
- Computer software proficiency in MS Excel, MS Access, MS PowerPoint, MS Word, etc.

### **B. Eligibility Requirements by Program/Technology Area**

The required professional credentials by Program/Technology Area are listed below. Where required, the Proposer must have at least one or more staff members with the designated professional credential. Proposer may highlight staff with preferred additional professional qualifications to enhance the proposal.

**Service Category 1: Field Inspection and Desk Review.** In addition to the minimum general eligibility requirements listed above, Proposers responding to Service Category 1 must possess the specified required professional credentials outlined below by Program/ Technology Area and identify such credentials held by proposed staff in **Attachment C: Qualifications Matrix**.

*Proposals that do not include staff that collectively meet the general eligibility requirements and required professional credentials for the proposed Program/Technology Area as outlined below will not be reviewed by the scoring committee.*

**Service Category 2: Quality Methods, Standards and Technical Assistance.** In addition to the minimum general eligibility requirements listed above, Proposers responding to Service Category 2 are encouraged to identify professional credentials for proposed staff in **Attachment C: Qualifications Matrix**, and are required only to describe relevant staff experience in the Personnel Qualifications section of the Proposal.

#### **Residential – Single Family**

##### *Required Professional Credentials*

- BPI Building Analyst or BPI Home Energy Professional Energy Auditor, **and**
- BPI Envelope Professional, **and**
- BPI Heating (required within 3 months of award), **and**
- BPI Air Conditioning and Heat Pump (required within 3 months of award), **and**
- BPI Manufactured Housing (required within 3 months of award)

*Preferred additional Professional Credentials*

- BPI Home Energy Professional Quality Control Inspector
- BPI Healthy Home Evaluator
- RESNET Home Energy Rater
- BPI Rater
- North American Technician Excellence (NATE)

**Multifamily**

*Recommended (not required) Professional Credentials*

- Investor Confidence Project (ICP) Project Developer or ICP QA Provider
- BPI Multifamily Building Analyst
- BPI Multifamily Building Operator

**NY-Sun Programs**

*Required Professional Credentials*

- 3 or more years combined experience installing, designing, inspecting solar systems, **and** one of the following credentials:
  - North American Board of Certified Energy Practitioners (NABCEP) Certified PV Installation Professional, **or**
  - Underwriters Labs (UL) PV System Installer, **or**
  - International Brotherhood of Electrical Workers (IBEW) Journeyman Electrician and have completed any IBEW/NECA (National Electrical Contractors Association), NABCEP, or UL approved 40 hour PV training

*Preferred additional Professional Qualifications*

- Professional Engineer (PE), or Licensed Electrician in proposed region

**Solar Thermal**

*Required Professional Credentials*

- 3 or more years of experience installing, designing, inspecting solar thermal systems, **and**
- NABCEP Certified Solar Thermal Installer, or Professional Engineer (PE)

*Preferred additional Professional Qualifications*

- Licensed Plumber or equivalent

**Biomass Boilers**

*Required Professional Credentials*

- Professional Engineer (PE) with demonstrated experience installing, designing, inspecting hydronic systems, and preferred experience with biomass fueled systems and thermal storage, **and**
- Certificate of Attendance: Hydronics for High Efficiency Biomass Boilers

*Preferred additional Professional Qualifications*

- Licensed Plumber or equivalent

## Pellet Stoves

### *Required Professional Credentials*

- BPI Building Analyst or BPI Home Energy Professional Energy Auditor, **and**
- Chimney Safety Institute of America or National Fireplace Institute Certification, **and**
- Demonstrated experience installing or inspecting pellet stoves

## **VII. CONTRACTUAL ARRANGEMENT AND RESPONSIBILITY**

### **A. Umbrella Agreement**

All Proposers qualified through this RFQL will enter into zero-dollar value Umbrella Agreements enabling NYSERDA to retain their services for the Program/Technology Area(s) and Service Area(s) in which they have been qualified. This Umbrella Agreement will not guarantee any specific amount of work. The amount of work and funding subsequently assigned to each Quality Service Provider via separate TWO(s) will depend on expertise, the amount of work required, past performance, current workload and deadline requirements.

The term of retention for each qualified Quality Service Provider is up to one year with the option to renew for another two years at NYSERDA's discretion. NYSERDA reserves the right to extend and/or add funding should other program funding become available. It is also anticipated that NYSERDA will re-evaluate each qualified consultant and the qualified consultant pools, and add new firms to the pool at any time, as needed, due to shifts in NYSERDA emphasis, consultant performance, expertise and other similar indicators. NYSERDA will re-evaluate and potentially reissue this RFQL to expand its qualified consultant pool on an annual or more frequent basis at NYSERDA discretion.

Quality Service Providers who, at any time, cease to provide value to NYSERDA due to poor performance, lack of timeliness, inferior deliverable quality, lack of engagement with NYSERDA and its partners, or in any way fail to meet the objectives of NYSERDA's Standards and Quality Assurance team may be issued a written warning. Should there be no improvement following this written warning, the consultant will be removed from the qualified list.

### **B. Task Work Orders**

#### **Service Category 1: Field Inspections and Desk Reviews**

Proposers qualified through this RFQL to conduct field inspections and photo reviews will be assigned work by Program/Technology Area and Region through separate written TWO(s) as outlined in **Attachment E: Scope of Work for Field Inspection Services**, which will become part of the binding Umbrella agreement between NYSERDA and the Quality Service Provider.

These TWO(s) may be revised to include a more recent estimated number of projects subject to inspection, regional considerations, and other pertinent information needed to manage inspection activities.

In all cases, standard inspection rates and hourly rates to implement any TWO shall be consistent with those in the general Umbrella Agreement and must be reviewed and approved by NYSERDA before implementation.

#### **Service Category 2: Quality Methods, Standards and Technical Assistance**

Proposers qualified through this RFQL to support quality methods, standards and technical assistance will be assigned work only for the Program/Technology Area for which they are

qualified. Projects will be assigned through separate written TWO(s), which will become binding agreements between NYSERDA and the consultant qualified to perform the work. TWO(s) will either be assigned or competitively bid through mini-bid request within the qualified pools of consultants in the relevant Program/Technology Area.

TWO requests issued by NYSERDA may be fully developed by NYSERDA or may require the qualified consultant(s) to develop a proposed work scope and other key components of the TWO. Fully developed TWO requests issued by NYSERDA shall include a detailed work scope, description of the deliverables required, schedule and budget. Typically, these TWOs will be implemented according to the TWO request as defined by NYSERDA.

In other cases, TWO requests shall include a description of NYSERDA's needs, but will require a response from the qualified consultant(s) on the specific methods, deliverables, schedule and budget to implement the work. Consultant responses to these types of TWO requests may include, but not be limited to:

- Goals and objectives of the project
- Approach that will be taken outlined by tasks
- Identification of measures and ability to track project success
- Any relevant background information
- Defined deliverables
- Communication plan to facilitate information sharing with NYSERDA (e.g., weekly meetings, status reports, etc.)
- Project schedule
- Names and titles of individuals to work on the project
- Total not-to-exceed cost of the project, including a breakout by task and by title, hourly rate, hours, and non-labor costs

***\*Note: NYSERDA will not reimburse the purchase or rental of tools, equipment, training.***

At NYSERDA's discretion, mini-bid requests may be issued to all qualified providers in a specified Program/Technology Area. These requests will likely include the outline of the scope and deliverables, regional considerations, and other pertinent information needed to develop a sound proposal. Each mini-bid request will require a detailed response from the qualified providers. Mini-bids will be reviewed by NYSERDA and a provider will be selected to implement the TWO.

If, following proposal review, but before implementing the TWO, the selected provider is unable to implement the work due to workload, expertise or other similar factor, NYSERDA may select the second-ranked provider to implement the work.

The details of these TWO responses will be consistent with the level of complexity of the proposed project or activity and determined in consultation with NYSERDA, but are anticipated to be one - five pages in length. In limited circumstances, during the development of a work scope, NYSERDA may consider partnering and teaming arrangements between qualified consultants and other expert entities as necessary. NYSERDA will not reimburse providers for the cost of preparing TWOs.

In all cases, hourly rates to implement any TWO shall be consistent with those in the general Umbrella Agreement. NYSERDA must review and approve all TWO(s) before implementation.

### C. Contractor Responsibility

Upon selection through this RFQL and upon agreement and approval of any TWO(s), the qualified Proposer shall be responsible for the following:

- Demonstrating value-added, timely completion of TWOs that align with the requirements and qualifications described in in **Section III: Range of Services** and **Section V: Specific Services Requested**
- Keeping NYSERDA informed regularly on the progress of assigned work, including meeting with NYSERDA staff on a periodic basis, as needed
- Submitting deliverables to NYSERDA for review and approval in accordance with the timeline outlined in the TWO
- Providing required documentation of expenditures by task when seeking reimbursement
- Ensuring the effort is based on the following principles:
  - Objectivity, fairness, and balance in terms of the types of data collected; only those data deemed necessary for quality assessment shall be collected and reported
  - Sound methodology, credible data and analysis, adherence to professional standards

### D. NYSERDA's Responsibility

Designated NYSERDA project managers will be responsible for overseeing and managing TWOs undertaken by qualified Proposers, including but not limited to reviewing, commenting and approving tasks and subsequent deliverables; coordinating with program staff and interested external stakeholders; promoting coordination among service providers qualified for each Service Area and across all Program/Technology areas, as appropriate; assisting in the presentation and dissemination of findings; and reviewing and approving invoices promptly.

## VIII. PROPOSAL REQUIREMENTS

All Proposals should be responsive to the range of services presented in **Section III: Range of Services** and **Section V: Specific Services Requested** as relevant to the Program/Technology Area proposed.

### Informational Webinar

NYSERDA will conduct an **Informational Webinar on February 8, 2017, 11:00 a.m. – 12:00 p.m.** Eastern Time during which NYSERDA will review the requirements of this solicitation and answer questions. Proposers who intend to participate can send an email to [RFQL3434info@nyserda.ny.gov](mailto:RFQL3434info@nyserda.ny.gov) with the subject line "RFQL 3434 Webinar" to request information on how to participate. Questions may be submitted via the same email address prior to the Webinar and Proposers will also have the opportunity to type in questions during the webinar using the web platform. NYSERDA will post questions and responses on the NYSERDA website after the Webinar. All questions will be posted anonymously, and NYSERDA's written responses will supersede any responses given during the Webinar.

### Proposal Format

Each proposal shall contain, at a minimum, the components listed below. 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 RFQL and the page number. Proposals may be either single- or double-sided, but a page is considered one side of an 8-1/2" x 11" piece of paper. The font size shall not be smaller than 11 point.

**1) Cover Letter (1 page)**

Proposers shall submit a cover letter on company letterhead that:

- References RFQL 3434
- Specifies each specific Service Area(s) and Program and Technology Area(s) proposed
- Summarizes the Proposer's ability to perform such services
- Is signed by a person with authority to enter into a contract with NYSERDA

**2) Table of Contents (1 page)**

Proposers should present a table of contents that outlines the section and page number for each Service Category and Program/Technology Area proposed. Proposals will be evaluated and scored separately for each Service Category and Program/Technology Area, therefore they must be organized with a separate section for each Service Category and Program/Technology Area.

a. All Proposals must include the following:

- Attachment A - Proposal Checklist
- Attachment B - Disclosure of Prior Findings of Non- responsibility

b. **Service Category 1 Proposals: Field Inspection and Desk Review** shall be organized with a separate section for each Program/Technology Area (i.e. Proposers may respond to one or more Program/Technology Areas). Each section must include the items listed below, regardless of whether they have been presented in another section:

- Attachment C: Qualifications Matrix
- Attachment D-1: Bid and Rate Sheet
- Attachment E: Scope of Work for Field Inspection Services (show all exceptions, if any)
- Overall Experience and Capabilities
- Personnel Qualifications
- Cost Proposal

c. **Service Category 2 Proposals: Quality Methods, Standards and Technical Assistance** shall be organized by Program/Technology Area (i.e. Proposers may respond to one or more Program/Technology Areas). Each section must include the items listed below, regardless of whether they have been presented in another section:

- Attachment C – Qualifications Matrix
- Attachment D-2: Project Personnel and Rates Form
- Overall Experience and Capabilities
- Personnel Qualifications
- Cost Proposal

**3) Overall Experience and Capabilities (2-4 pages)**

For each proposed Program/Technology Area, Proposers must describe their expertise and ability to deliver services. This should include the aggregate number of years working in this area and a summary of at least one, and no more than three, similar award(s). These summaries must also include the cost of the award, 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.

**4) Personnel Qualifications (1-3 pages; résumés may be placed in an appendix and are not included in this page limit)**

For each proposed Program/Technology Area, Proposers must indicate the relevant qualifications for proposed personnel using **Attachment C: Qualifications Matrix**. Proposers must also identify the project manager within their firm who will serve as the single point of contact as well as all personnel to be involved with providing services under this RFQL and their roles. Proposers must describe the accomplishments, experiences, and expertise of all individuals comprising the proposal. Proposers must include one-page résumés that highlight recent experience of all individuals who will be directly involved in providing services. These may be compiled in an appendix to the proposal.

**5) Cost Proposal (1 page)** Proposers must provide a cost proposal per the requirements for each proposed Service Category.

- **Service Category 1: Field Inspection and Desk Review** – Proposers must complete **Attachment D-1: Bid and Rate Sheet** for each proposed Program/Technology Area. The worksheet requires submission of a total cost per Inspection Type. To aid in determining total cost per inspection, NYSERDA has provided a list of qualitative and quantitative data collected during a standard field inspection for various Program/Technology Areas in **Appendix 3: Field Inspection Checklists**.

The cost proposal section for Service Category 1 should include all assumptions and calculations (detailed cost breakdown) for all bids entered by Inspection Type. The total bid price shall include all administrative, travel and other expenses incurred in carrying out the standard inspection requirements of this solicitation. It is expected that all inspection costs including, scheduling, project information gathering, project documentation analysis, travel, field data collection, inspection reporting, management oversight and approvals and routine contract status meetings with NYSERDA are included in the proposed total cost per inspection.

Proposers bidding for statewide services must also enter bids for each region if interested in serving one or more regions should the statewide bid not be qualified. Proposers must agree to the tasks defined in **Attachment E: Scope of Work for Inspection Services**, as these requirements will serve as the Statement of Work under the TWO for awards granted under the Field Inspection and Desk Review service area. Any exception must be stated clearly in the Proposal (electronic submission of redlined version of **Attachment E** is acceptable).

**Note:** Any escalation rates must be identified for up to a three-year contract term.

- **Service Category 2: Quality Methods, Standards and Technical Assistance** - Proposers must complete **Attachment D-2: Project Personnel and Rates Form** for each proposed Program/Technology Area. Proposers must submit the name, title, and fully-burdened hourly salary range for each individual in the proposal who will perform the work as outlined in the respective section of this solicitation (**Section III: Range of Services** and **Section V: Specific Services Requested**).

NYSERDA is not requiring Proposers to estimate travel or other direct costs as part of proposals for this Service Category, but will allow for reasonable cost reimbursement for these direct costs as defined in the TWOs on an as needed basis. However, NYSERDA will not reimburse the purchase or rental of measurement tools and equipment or training and certification of staff.

**Note:** Any escalation rates must be identified for up to a three-year contract term.

## 6) Submittal

To be eligible for selection under this RFQL, Proposers must submit a complete bid package and agree to the terms and requirements of this RFQL.

Proposers may submit electronically per the requirements outlined on page 2 of this RFQL and described in **Attachment F: Instructions for Electronic Proposal Submission**, or must submit two paper copies of their proposal with a completed and signed Proposal Checklist (**Attachment A**), along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal to the attention of Venice Forbes at the address on the front of this RFQL.

A completed and signed Proposal Checklist (**Attachment A**) must be attached as the front cover of your proposal, one of which must contain an original signature. All Proposals submitted under this solicitation become the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for costs associated with the preparation of their proposals.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), the following forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist (**Attachment A**) including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form (**Attachment B**). Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

## IX. PROPOSAL EVALUATION

### A. Evaluation Process

Proposals that meet the requirements described in Section VIII. Proposal Requirements of this RFQL, and where proposed staff meet the general eligibility requirements described in Section VI: Qualifications, Section A, will be reviewed by a scoring committee consisting of NYSERDA staff and selected outside reviewer(s).

### B. Proposal Evaluation for Service Category 1: Field Inspection and Desk Review

Proposals for this Service Category must include staff that collectively hold the required professional credentials for the proposed Program/Technology Area as outlined in Section VI: Qualifications, Section B. Proposals that do not meet these requirements will not be considered.

The scoring committee will evaluate all qualified Proposals for Service Category 1 separate from those proposed under Service Category 2. Each proposal section (by Program/ Technology Area) will be scored and ranked independent from other Program/Technology Areas, and will also be scored and ranked by Region and Statewide according to the following criteria.

#### Proposal Scoring Criteria for Service Category 1:

Total Points	Evaluation Component
10 Points	<b>1. Responsiveness to the Solicitation</b> <ul style="list-style-type: none"><li>• Overall responsiveness to the requirements of solicitation</li><li>• Is the proposal well-organized into sections (by proposed Program/Technology Area), well-written, and complete?</li></ul>



	<ul style="list-style-type: none"> <li>• Includes detailed cost break-down for inspection bid</li> <li>• Indicates agreement with <b>Attachment E: Scope of Work for Field Inspection Services</b>, or clearly indicates any exceptions</li> </ul>
10 Points	<p><b>2. Ability to Serve New York State (or Region) as Proposed</b></p> <ul style="list-style-type: none"> <li>• Is staff plan and organizational chart clear and well-defined, does it demonstrate ability to be responsive to needs of the solicitation?</li> <li>• Are staff regionally located to support proposed region, or clear plan to ensure qualified staff by commencement of an award?</li> </ul>
40 Points	<p><b>3. Relevant Experience and Qualifications</b></p> <ul style="list-style-type: none"> <li>• Depth of proposed staff that collectively hold all required professional credentials (i.e. back up staff available)</li> <li>• Proposer has demonstrated expertise in Program Area</li> <li>• Demonstrated field inspection experience</li> <li>• Demonstrated experience designing, installing or inspecting energy efficiency and renewable energy technologies related to the proposed Program/Technology Area</li> </ul>
40 Points	<p><b>4. Cost</b></p> <ul style="list-style-type: none"> <li>• Relative competitiveness of weighted average bid price across all required Inspection Types for Program/Tech Area</li> <li>• Relative competitiveness of fully-burdened rates for non-standard inspection services</li> <li>• Proposed escalation rates (if any) are reasonable and justified</li> <li>• Reasonableness of documented cost break-down for standard inspection bid</li> </ul>

**C. Proposal Evaluation for Service Category 2: Quality Methods, Standards and Technical Assistance**

The scoring committee will evaluate all Proposals for Service Category 2 separate from those proposed under Service Category 1. Each proposal Section (by Program/Technology Area) will be scored and ranked independent from other Program/Technology Areas.

**Proposal Scoring Criteria for Service Category 2:**

<b>Total Points</b>	<b>Evaluation Component</b>
40 Points	<p><b>1. Responsiveness to the Solicitation</b></p> <ul style="list-style-type: none"> <li>• Overall responsiveness to the requirements of the solicitation</li> <li>• Is the proposal well-organized into Sections by proposed Program/Technology Area, well-written and complete?</li> <li>• Has Proposer demonstrated clear understanding of goals and objectives of Program/Technology Area and the required services?</li> </ul>

	<ul style="list-style-type: none"> <li>• Demonstrated understanding of the potential impact and benefit of implementing appropriate standards and market-based quality solutions to achieve goals of the Clean Energy Fund</li> </ul>
30 Points	<b>2. Relevant Experience and Qualifications</b> <ul style="list-style-type: none"> <li>• Project Team has the experience, expertise, skill and credentials (as applicable) to deliver required services</li> <li>• Proposer has demonstrated experience/expertise in proposed Program/Technology Area</li> <li>• Proposer has successfully implemented similar services</li> <li>• Proposer has secured strong commitments from essential team members and partners, including letters and cost sharing, and has demonstrated strong support from necessary stakeholders.</li> </ul>
15 Points	<b>3. Ability to Service New York State</b> <ul style="list-style-type: none"> <li>• Is staff plan and organizational chart clear and well-defined, does it demonstrate ability to be responsive to needs of the solicitation?</li> <li>• Do the proposed staff have demonstrated understanding of the specific needs and challenges in New York State, or is there clear plan to ensure qualified staff by commencement of an award?</li> </ul>
15 Points	<b>3. Cost</b> <ul style="list-style-type: none"> <li>• Relative competitiveness of fully-burdened rates and proposed escalation rates (if any)</li> <li>• Relative value of the proposed experience and benefit to the programs</li> </ul>

**Conflicts:** The firm 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. Please describe all of your product, manufacturer or service-related affiliations. If any affiliations exist, you must provide a statement verifying that 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.

Qualified Proposers shall not be precluded from bidding on the other Program/Technology areas described within this RFQL or on future Standards and Quality Assurance solicitations. However, Proposers should describe within their proposals how conflicts of interest, both actual and perceived, will be resolved should you choose to bid on other NYSERDA solicitations.

**X. GENERAL CONDITIONS**

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2) (d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the Proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure.

This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted.

See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

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

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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 qualifying multiple consultants within each Program/Technology Area, and may make regional awards for inspection services under Service Category 1. 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 during the proposal review process.

NYSERDA will use the Sample Agreement (Attachment G) 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 ten weeks from the proposal due date whether your proposal has been qualified. 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.

**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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## **XI. Appendices**

- Appendix 1 – Regional Map and Production Estimates
- Appendix 2 - Program Descriptions
- Appendix 3 – Field Inspection Checklists
- Appendix 4 – Sample Reports

## **XII. Attachments**

- Attachment A - Proposal Checklist
- Attachment B - Disclosure of Prior Findings of Non- Responsibility
- Attachment C – Qualifications Matrix
- Attachment D-1 – Bid and Rate Sheet
- Attachment D-2 – Project Personnel and Rates Form
- Attachment E – Scope of Work for Field Inspection Services
- Attachment F – Instructions for Electronic Proposal Submission
- Attachment G - Sample Agreement

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## Projects Selected for Funding by Region

Period 10/1/2016 through 3/31/2017

REDC Region	County	Electric Utility	Total Funded Amount
<b>Capital Region</b>	ALBANY	Central Hudson Gas and Electric	12,800
		National Grid	14,556,774
	COLUMBIA	National Grid	197,757
		NYS Electric and Gas	1,054,151
	GREENE	Central Hudson Gas and Electric	151,779
	RENSSELAER	National Grid	3,273,249
		NYS Electric and Gas	37,752
	SARATOGA	National Grid	3,452,893
		NYS Electric and Gas	2,976,443
	SCHENECTADY	National Grid	2,802,387
	WARREN	National Grid	2,315,874
	WASHINGTON	National Grid	5,021,802
		NYS Electric and Gas	12,900
	<b>Total</b>		<b>35,866,560</b>
<b>Central New York</b>	CAYUGA	NYS Electric and Gas	314,656
		Rochester Gas and Electric	18,184
	CORTLAND	National Grid	6,493,958
		NYS Electric and Gas	5,000
	MADISON	National Grid	99,134
		NYS Electric and Gas	45,689
	ONONDAGA	National Grid	6,744,819
		NYS Electric and Gas	356,504
		Rochester Gas and Electric	2,500
	OSWEGO	National Grid	109,125
	<b>Total</b>		<b>14,189,568</b>
<b>Finger Lakes</b>	GENESEE	National Grid	1,479,093
	LIVINGSTON	National Grid	1,509,513
		Rochester Gas and Electric	21,056
	MONROE	National Grid	14,938
		Rochester Gas and Electric	6,701,123
	ONTARIO	NYS Electric and Gas	3,912,206
		Rochester Gas and Electric	3,084,588
	ORLEANS	National Grid	422,494
	SENECA	NYS Electric and Gas	1,260,998
	WAYNE	NYS Electric and Gas	11,687
		Rochester Gas and Electric	3,334,447
	WYOMING	National Grid	47,014
		NYS Electric and Gas	40,188
		Rochester Gas and Electric	2,037,517
	YATES	Municipal Utilities	5,999
		NYS Electric and Gas	904,073
<b>Total</b>		<b>24,786,933</b>	
<b>Long Island</b>	NASSAU	Consolidated Edison	48,319
		Municipal Utilities	141,716

## Projects Selected for Funding by Region

Period 10/1/2016 through 3/31/2017

REDC Region	County	Electric Utility	Total Funded Amount
Long Island	NASSAU	PSEG Long Island	2,929,336
	SUFFOLK	PSEG Long Island	4,461,308
	<b>Total</b>		7,580,678
Mid-Hudson	DUTCHESS	Central Hudson Gas and Electric	1,358,919
		National Grid	5,940
		NYS Electric and Gas	1,375,873
	ORANGE	Central Hudson Gas and Electric	1,631,549
		NYS Electric and Gas	1,787,649
		Orange and Rockland Utilities	10,878,247
	PUTNAM	Central Hudson Gas and Electric	9,936
		NYS Electric and Gas	29,227
	ROCKLAND	Orange and Rockland Utilities	1,988,322
	SULLIVAN	Central Hudson Gas and Electric	160,401
		NYS Electric and Gas	10,082,020
		Orange and Rockland Utilities	1,342,992
	ULSTER	Central Hudson Gas and Electric	711,629
	WESTCHESTER	Consolidated Edison	5,796,504
		NYS Electric and Gas	723,195
<b>Total</b>		37,882,403	
Mohawk Valley	CHENANGO	NYS Electric and Gas	3,396,181
	FULTON	National Grid	3,065,608
	HERKIMER	Municipal Utilities	27,059
		National Grid	46,540
	MONTGOMERY	National Grid	1,058,310
	ONEIDA	Municipal Utilities	25,928
		National Grid	3,418,107
		NYS Electric and Gas	45,193
	OTSEGO	NYS Electric and Gas	30,433
	SCHOHARIE	National Grid	91,780
<b>Total</b>		11,205,140	
New York City	BRONX	Consolidated Edison	4,033,192
	KINGS	Consolidated Edison	10,379,953
	NEW YORK	Consolidated Edison	22,068,637
	QUEENS	Consolidated Edison	8,951,944
		PSEG Long Island	12,340
	RICHMOND	Consolidated Edison	5,797,350
	<b>Total</b>		51,243,416
North Country	CLINTON	NYS Electric and Gas	6,516,587
	ESSEX	National Grid	121,487
		NYS Electric and Gas	25,584
	FRANKLIN	National Grid	117,668
		NYS Electric and Gas	5,184
	HAMILTON	National Grid	6,480
JEFFERSON	National Grid	2,125,136	

## Projects Selected for Funding by Region

Period 10/1/2016 through 3/31/2017

REDC Region	County	Electric Utility	Total Funded Amount
<b>North Country</b>	LEWIS	National Grid	1,014,014
	SAINT LAWRENCE	National Grid	1,820,475
	<b>Total</b>		11,752,615
<b>Southern Tier</b>	BROOME	NYS Electric and Gas	2,970,756
	CHEMUNG	NYS Electric and Gas	1,372,319
	DELAWARE	NYS Electric and Gas	2,611,442
	SCHUYLER	NYS Electric and Gas	226,927
	STEUBEN	NYS Electric and Gas	1,698,898
	TIOGA	NYS Electric and Gas	8,732,705
	TOMPKINS	National Grid	5,998
		NYS Electric and Gas	28,189,414
<b>Total</b>		45,808,459	
<b>Statewide</b>	STATEWIDE	Statewide	732,138,510
	<b>Total</b>		732,138,510
<b>Western New York</b>	ALLEGANY	National Grid	7,440
		NYS Electric and Gas	2,500
		Rochester Gas and Electric	9,360
	CATTARAUGUS	National Grid	10,754,450
		NYS Electric and Gas	2,500
	CHAUTAUQUA	National Grid	1,608,313
	ERIE	National Grid	4,395,022
		NYS Electric and Gas	598,919
	NIAGARA	Null	9,648
		National Grid	436,213
		NYS Electric and Gas	5,460
	<b>Total</b>		17,829,825
<b>Grand Total</b>			990,284,106



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Projects Selected for Funding by Region  
Period 10/1/2016 through 3/31/2017

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	444 River Lofts, LLC	RENSELAEER	National Grid	Low Rise New Construction, Codes & New Construction	55,200
				Low Rise New Construction, New Construction	7,650
	Adam C. Boese	GREENE	Central Hudson Gas a.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	ADP, Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, HR Payroll and Timecards serv	15,000
	Affordable Housing Partnership	ALBANY	National Grid	CLEANER GREENER COMMUNITIES, Green Jobs Green New York O..	20,362
	Air Products and Chemicals, Inc.	ALBANY	National Grid	Industrial Process Effic, Industrial Process Efficiency	2,000,000
	Albany Housing Authority	ALBANY	National Grid	Low Rise New Construction, Codes & New Construction	23,000
	Alliance to Save Energy	ALBANY	National Grid	NYSERDA ADMINISTRATION, Membership Dues 2017	25,000
	American Energy Care, Inc.	ALBANY	Central Hudson Gas and Electric	<200KW PV, NY Sun	6,144
			<200KW PV, NY-Sun	6,656	
	GREENE	Central Hudson Gas a.	<200KW PV, NY Sun	23,232	
	RENSELAEER	National Grid	<200KW PV, NY Sun	5,520	
	SARATOGA	National Grid	<200KW PV, NY Sun	11,216	
American Natural Gas, LLC	SARATOGA	National Grid	CLEAN TRANSPORTATION, NYS Compressed Natural Gas	379,778	
Apex Solar Power LLC	ALBANY	National Grid	<200KW PV, NY Sun	32,860	
	SARATOGA	National Grid	<200KW PV, NY Sun	10,290	
	SCHENECTADY	National Grid	<200KW PV, NY Sun	26,930	
	WARREN	National Grid	<200KW PV, NY Sun	63,554	
			<200KW PV, NY-Sun	984	
	WASHINGTON	National Grid	<200KW PV, NY Sun	10,314	
			<200KW PV, NY-Sun	53,410	
		NYS Electric and Gas	<200KW PV, NY Sun	5,400	
Arcadis of New York, Inc.	GREENE	Central Hudson Gas a.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,500	
	RENSELAEER	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	4,000	
	SARATOGA	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
	SCHENECTADY	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	WASHINGTON	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Beacon Communities Development LLC	RENSELAEER	National Grid	Low Rise New Construction, New Construction	101,800	
Bizodo Inc	ALBANY	National Grid	NYSERDA ADMINISTRATION, SeamlessDocs Licensing 17-18	27,450	
Bloom Energy Corporation	ALBANY	National Grid	FUEL CELLS, HD #1241-Albany, NY	900,866	
			FUEL CELLS, HD #1262-Albany, NY	767,533	
	RENSELAEER	National Grid	FUEL CELLS, HD #1263-North Greenbush, NY	998,817	
	SARATOGA	National Grid	FUEL CELLS, CST FC Home Depot 1223	963,837	
		NYS Electric and Gas	FUEL CELLS, HD #1269-Clifton Park, NY	948,572	
	SCHENECTADY	National Grid	FUEL CELLS, HD #1239-Schenectady, NY	883,262	
Blue Heron Trail II, LLC	SARATOGA	National Grid	Low Rise New Construction, Codes & New Construction	57,000	
Borrego Solar Systems, Inc.	RENSELAEER	National Grid	>200KW PV, NY Sun	925,043	
	WASHINGTON	National Grid	>200KW PV, NY Sun	3,757,710	
Brownell Electric Corp.	SARATOGA	National Grid	<200KW PV, NY Sun	5,016	
Business Environments	ALBANY	National Grid	workstations	19,600	
Capital District Records Management, Inc	ALBANY	National Grid	NYSERDA ADMINISTRATION, Media Storage & Destruction	6,768	
Carahsoft Technology Corporation	ALBANY	National Grid	NYSERDA ADMINISTRATION, DocuSign Licensing 17-18	83,231	
			NYSERDA ADMINISTRATION, Renewal: DocuSign Licensing	49,400	
Carbone Auto Group, LLC	ALBANY	National Grid	Replacement vehicle for Admini	45,630	
Center for Economic Growth	ALBANY	National Grid	COMMUNITY SOLAR, Solarize 2017	5,000	
CHA Consulting Inc.	ALBANY	National Grid	Industrial Process Effic, Technical Review and Program S	120,000	
	WARREN	National Grid	Industrial Process Effic, Technical Review and Program S	95,500	
	WASHINGTON	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	3,500	
			RENEWABLE HEAT NY, Technical Review and Program S	2,000	
City of Schenectady	SCHENECTADY	National Grid	CLEANER GREENER COMMUNITIES, CGC61854 - City of Schenecta..	250,000	
CLEARResult Consulting, Inc.	ALBANY	National Grid	GJGNY REVOLVING LOAN FUND, GJGNY TIC	145,000	
Cohoos, City of	ALBANY	National Grid	CLEANER GREENER COMMUNITIES, CGC42156 - City of Cohoes	51,500	
Commercial Investigations LLC	ALBANY	National Grid	NYSERDA ADMINISTRATION, Background Checks	10,000	
Cypress Creek Renewables LLC	SARATOGA	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,331,022	
David P Bruns	SCHENECTADY	National Grid	Low Rise New Construction, Codes & New Construction	143,200	
			Low Rise New Construction, New Construction	231,200	
Direct Packet Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, Direct Response 2017	5,055	
			NYSERDA ADMINISTRATION, Firewall Traversal - Renewal	12,000	
			NYSERDA ADMINISTRATION, Video Conf. upgrade WV, Buff.	15,892	
			NYSERDA ADMINISTRATION, VideoConf End of Life - 2	17,726	
Dynamic Energy Solutions, LLC	ALBANY	National Grid	>200KW PV, NY Sun	1,032,295	
	SCHENECTADY	National Grid	>200KW PV, NY Sun	1,032,295	
Earth Environmental Group, LLC	SCHENECTADY	National Grid	Solar Thermal, Solar Thermal	6,854	
			Solar Thermal, Solar Thermal Incentives	109,664	
Employee Leasing of Greater NY	ALBANY	National Grid	NY-SUN, Temporary Services	59,543	
			NYSERDA ADMINISTRATION, Temp Employee Services	55,654	
Energy & Resource Solutions, Inc.	ALBANY	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	RENSELAEER	National Grid	RENEWABLE HEAT NY, Technical Review and Program S	3,140	
	WASHINGTON	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Erdman Anthony & Associates, Inc.	RENSELAEER	National Grid	Commercial New Construc, EAA - EMP	12,154	
ESRI, Incorporated	ALBANY	National Grid	NYSERDA ADMINISTRATION, ESRI ArcGIS Upgrade	6,130	
Finch Paper, LLC	WARREN	National Grid	Industrial Process Effic, Industrial Process Efficiency	1,235,000	
First Columbia Property Services, LLC	ALBANY	National Grid	NYSERDA ADMINISTRATION, Property Management Services	143,775	
Gartner Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, Gartner Renewal 2017-2018	35,321	
GCOM Software Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, Renewal: Salesforce.com	1,600,908	
			NYSERDA ADMINISTRATION, Salesforce Government Cloud	28,274	
			NYSERDA ADMINISTRATION, Salesforce Implementation	640,683	
			NYSERDA ADMINISTRATION, Staff Augmentation	637,650	
George J. Martin & Son	RENSELAEER	National Grid	<200KW PV, NY Sun	32,720	
Global Foundries U.S. Inc.	SARATOGA	NYS Electric and Gas	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	339,661	
Green Mountain Electric Supply, Inc.	WARREN	National Grid	<200KW PV, NY-Sun	39,139	
Greenport Gardens Housing Development Fu	COLUMBIA	National Grid	Low Rise New Construction, New Construction	60,600	
High Peaks Solar	ALBANY	National Grid	<200KW PV, NY Sun	5,568	
	SARATOGA	National Grid	<200KW PV, NY-Sun	5,940	
Hills Construction Management, Inc.	GREENE	Central Hudson Gas a.	Low Rise New Construction, Codes & New Construction	5,500	
Holland & Knight LLP	ALBANY	National Grid	Clean Energy Communities, Outsld Counsel for CCA	25,000	

Projects Selected for Funding by Region  
Period 10/1/2016 through 3/31/2017

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Hollingsworth & Vose Company	WASHINGTON	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	123,294
	Hudson Solar	COLUMBIA	National Grid	<200KW PV, NY-Sun	21,926
			NYS Electric and Gas	<200KW PV, NY Sun	6,278
				<200KW PV, NY-Sun	7,296
		GREENE	Central Hudson Gas a.	<200KW PV, NY Sun	26,012
		RENSSELAER	National Grid	<200KW PV, NY Sun	5,016
		SARATOGA	National Grid	<200KW PV, NY Sun	9,380
	Hunter Mountain Ski Bowl Inc.	GREENE	Central Hudson Gas a.	Industrial Process Effic, Industrial Process Efficiency	26,262
	IIA Quality Sevices, LLC	ALBANY	National Grid	NYSERDA ADMINISTRATION, Internal Audit Assessment	25,000
	Interaction Associates	ALBANY	National Grid	ENERGY ANALYSIS, Energy & Environmental Analysis	19,000
	Inverters Unlimited, Inc.	SCHENECTADY	National Grid	<200KW PV, NY Sun	9,114
	Irving Tissue, Inc	WASHINGTON	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	95,086
	Kasselman Solar LLC	ALBANY	National Grid	<200KW PV, NY Sun	28,344
				<200KW PV, NY-Sun	42,149
		COLUMBIA	NYS Electric and Gas	<200KW PV, NY Sun	6,552
		GREENE	Central Hudson Gas a.	<200KW PV, NY Sun	6,844
		RENSSELAER	National Grid	<200KW PV, NY Sun	18,192
		SARATOGA	National Grid	<200KW PV, NY Sun	11,020
			NYS Electric and Gas	<200KW PV, NY Sun	7,888
		SCHENECTADY	National Grid	<200KW PV, NY Sun	6,264
				<200KW PV, NY-Sun	11,430
		WARREN	National Grid	<200KW PV, NY-Sun	4,290
		WASHINGTON	National Grid	<200KW PV, NY Sun	13,136
	Kool-Temp Heating & Cooling	GREENE	Central Hudson Gas a.	<200KW PV, NY Sun	8,704
	KPMG LLP	ALBANY	National Grid	NYSERDA ADMINISTRATION, Audit services	533,000
	L&S Energy Services, Inc.	ALBANY	National Grid	>200KW PV, Technical Review and Program S	150,000
		GREENE	Central Hudson Gas a.	Industrial Process Effic, Technical Review and Program S	6,529
		SARATOGA	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
				Commercial Real Estate Ten, FlexTech Consultant Selection	333,333
		SCHENECTADY	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	6,000
		WASHINGTON	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	20,985
	Lotus Energy, Inc.	SARATOGA	National Grid	<200KW PV, NY Sun	6,048
	Low-Level Radioactive Waste Forum, Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, LLW Forum Annual Dues	5,000
	Malta Development Company Inc	SARATOGA	National Grid	NEW YORK ENERGY STAR HOMES, New Construction	5,000
	Mental Health Association of	COLUMBIA	National Grid	Low Rise New Construction, Codes & New Construction	60,600
	mindSHIFT Technologies, Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, Hosting Cloud Solutions	36,718
	Monolith Solar Associates, LLC	ALBANY	National Grid	<200KW PV, NY Sun	55,310
		COLUMBIA	National Grid	<200KW PV, NY Sun	5,280
			NYS Electric and Gas	<200KW PV, NY-Sun	6,240
		GREENE	Central Hudson Gas a.	<200KW PV, NY Sun	5,600
		RENSSELAER	National Grid	<200KW PV, NY Sun	228,230
				<200KW PV, NY-Sun	96
		SCHENECTADY	National Grid	<200KW PV, NY Sun	13,288
		WARREN	National Grid	<200KW PV, NY-Sun	12,268
		WASHINGTON	National Grid	<200KW PV, NY Sun	5,208
				<200KW PV, NY-Sun	5,692
	Netanium Inc	ALBANY	National Grid	Check Point Webair for NEIS	73,524
				Checkpoint Firewall Upgrade	27,627
	Network Experts of New York, Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, Helpdesk Technician	120,000
				NYSERDA ADMINISTRATION, Hlve Manager 2017 - 2018	6,500
				NYSERDA ADMINISTRATION, Peoplesoft Admin.	160,000
	New York Power Authority	COLUMBIA	National Grid	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSERDA-NYP..	29,863
	Infrastructure	ALBANY	National Grid	Equipment to Support Network	8,280
				Network Upgrade - Cisco	253,987
				NYSERDA ADMINISTRATION, nFrastructure-NE-Architect	38,205
				NYSERDA ADMINISTRATION, Tintri T620 Support, 29 Months	17,189
	Northco Products, Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, Konica Minolta Copier	10,000
	Northeast Agriculture Technology Corpora	WASHINGTON	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Novus Engineering, P.C.	ALBANY	National Grid	Flexible Tech Assistance, FlexTech Consultant Selection	15,389
	NYS Dept of Corrections &	GREENE	Central Hudson Gas a.	NEW CONSTRUCTION PROGRAM, NCP13137 - Coxsackie Cell Bloc	9,098
	NYS Office For Technology	ALBANY	National Grid	NYSERDA ADMINISTRATION, O365 Point to Point Circuit	11,232
	NYS Office of Parks, Recreation and	COLUMBIA	National Grid	<200KW PV, NY Sun	12,992
		SARATOGA	National Grid	<200KW PV, NY Sun	52,196
	O'Connell Electric Company	SCHENECTADY	National Grid	<200KW PV, NY Sun	24,716
	OLA Consulting Engineers, P.C.	ALBANY	National Grid	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	20,405
	OneEnergy Development LLC	COLUMBIA	NYS Electric and Gas	>200KW PV, NY Sun	1,011,084
	Oracle America, Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, Oracle Peoplesoft 2017 - 2018	53,598
	OwnBackup Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, Salesforce Backup Solution	20,948
	OwnSolar, LLC	SARATOGA	NYS Electric and Gas	NY-SUN, NY-Sun	349,301
	PosiGen LLC	SCHENECTADY	National Grid	<200KW PV, NY-Sun	5,728
	PS21, Inc	COLUMBIA	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP13176 - Black Box Theater	11,201
	Pierra, LLC	ALBANY	National Grid	DER Integration(Intrcnct), FlexTech Consultant Selection	150,000
	Public Policy and Education Fund of NY	ALBANY	National Grid	GJNGY REVOLVING LOAN FUND, Green Jobs Green New York Outr	43,634
	Randstad North America, L.P.	ALBANY	National Grid	>200KW PV, Temp Services Contract	4,050
				EVALUATION, Temp Services	58,500
				NY-SUN, Temp Services	61,000
				NY-SUN, Temp Services Contract	42,063
				NYSERDA ADMINISTRATION, Temp Services	44,188
				NYSERDA ADMINISTRATION, Temp Services Contract	337,519
				NYSERDA ADMINISTRATION, Temporary Services	80,194
	Regional Economic Models, Inc	ALBANY	National Grid	ENERGY ANALYSIS, REMI Fee and License	6,000
	Research Foundation of SUNY	ALBANY	National Grid	NEW CONSTRUCTION PROGRAM, NCP11296 - Zero Energy Nano	192,366
	Ringlead, Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, RingLead Software - 3 years	49,000
	Rosenblum Rubin Property Services, LLC	SARATOGA	National Grid	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Manag..	3,536
				SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mgmt ..	65,580
	Ross Site Development,Corp	GREENE	Central Hudson Gas a.	NEW CONSTRUCTION PROGRAM, NCP12993 - Bailey Street Build	5,470
	Saratoga Springs Housing Authority	SARATOGA	National Grid	Multifam Performance Pgm, Multifamily	39,600

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Capital Region	Seed Renewables Inc.	RENSSELAER	NYS Electric and Gas	<200KW PV, NY Sun	5,130	
	Sentry Air Systems, Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, Corporate Marketing	6,009	
	SHI, Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, ADA-Compliance Subscription	15,544	
				NYSERDA ADMINISTRATION, Embarcadero Support 17 - 18	9,966	
				NYSERDA ADMINISTRATION, SQL Diagnostic Manager	10,902	
				NYSERDA ADMINISTRATION, Peoplesoft Support Services	13,800	
	Sierra Infosys Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, Peoplesoft Support Services	13,800	
	Siteimprove, Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, Siteimprove Renewal 17-20	17,916	
	Solar Liberty Energy Systems, Inc	SCHENECTADY	National Grid	<200KW PV, NY Sun	5,508	
	SolarCity Corporation	RENSSELAER	National Grid	<200KW PV, NY Sun	8,316	
				<200KW PV, NY Sun	8,008	
				>200KW PV, NY Sun	828,428	
			NYS Electric and Gas	<200KW PV, NY Sun	5,554	
		SCHENECTADY	National Grid	<200KW PV, NY Sun	5,922	
	Sologistics, LLC	ALBANY	National Grid	NYSERDA ADMINISTRATION, Salesforce CRM Implementation	200,000	
	Sun Source Technologies	COLUMBIA	National Grid	<200KW PV, NY Sun	6,496	
	SunEdison Holdings Corporation	SARATOGA	National Grid	NY-SUN, Products	1,464,096	
	SunPower Capital, LLC	RENSSELAER	National Grid	<200KW PV, NY Sun	7,200	
				<200KW PV, NY Sun	5,244	
	SunRun, Inc	RENSSELAER	National Grid	<200KW PV, NY-Sun	104	
				NYS Electric and Gas	<200KW PV, NY Sun	7,068
				SARATOGA	National Grid	<200KW PV, NY Sun
	Syncarpha Whitehall LLC	WARREN	National Grid	NY-SUN, NY-Sun	865,139	
				WASHINGTON	National Grid	>200KW PV, NY-Sun
	Systems Management Planning, Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, NetAppRenewal2240	15,162	
				NYSERDA ADMINISTRATION, VMWare Airwatch - 2017 - 2018	7,657	
				NYSERDA ADMINISTRATION, Webex Services - Renewal 17-18	25,101	
	T.McElligott, Inc.	RENSSELAER	National Grid	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	14,789	
	Tech Valley Talent, LLC	ALBANY	National Grid	NYSERDA ADMINISTRATION, Information Security Services	191,100	
				NYSERDA ADMINISTRATION, Staff Augmentation	1,632,415	
	Technology Professionals Group Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, IT Advisory Services - ECM	26,760	
	Terremark Federal Group, LLC	ALBANY	National Grid	NYSERDA ADMINISTRATION, Enterprise ECloud - Renewal	65,928	
	The Business Council of NYS, Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, Renewal of Membership	5,706	
	The Radiant Store	RENSSELAER	NYS Electric and Gas	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Pine	10,000	
				RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Kopa	10,000	
				RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Sura	10,000	
	The Weidt Group, Inc.	SARATOGA	National Grid	Commercial New Construc, EMP - Weidt	11,515	
	Thomas Paino	COLUMBIA	NYS Electric and Gas	Low Rise New Construction, New Construction	5,500	
	TRC Energy Services	ALBANY	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	Triad Technology Partners LLC	ALBANY	National Grid	NYSERDA ADMINISTRATION, Tableau Desktop 2016 - 2017	5,937	
	Troy Boiler Works, Inc.	RENSSELAER	National Grid	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	19,097	
	Union College	SCHENECTADY	National Grid	NEW CONSTRUCTION PROGRAM, NCP11519 - Humanities Building	21,752	
	Unique Comp Inc.	ALBANY	National Grid	NYSERDA ADMINISTRATION, Staff Augmentation	726,440	
	University at Albany	ALBANY	National Grid	NEW CONSTRUCTION PROGRAM, NCP11874 - Building 25 Gut Reh	22,887	
	Vidaris, Inc.	ALBANY	National Grid	Commercial New Construc, Vidaris - EMP	74,635	
	Vivint Solar	SCHENECTADY	National Grid	<200KW PV, NY Sun	7,329	
				<200KW PV, NY Sun	6,760	
	Walker Farms LLC	WASHINGTON	National Grid	ANAEROBIC DIGESTER, On-Site Power	138,833	
	Witt Construction, Inc	SARATOGA	National Grid	Low Rise New Construction, New Construction	5,500	
	<b>Total</b>				<b>35,866,560</b>	
	Central New York	Adam C. Boese	OSWEGO	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		AHA Development Corporation	CAYUGA	NYS Electric and Gas	Low Rise New Construction, Codes & New Construction	65,200
		Alternative Power Solutions of NY, LLC	ONONDAGA	National Grid	<200KW PV, NY Sun	27,392
					<200KW PV, NY Sun	44,296
			OSWEGO	National Grid	<200KW PV, NY-Sun	5,472
Apex Solar Power LLC		MADISON	National Grid	<200KW PV, NY Sun	5,280	
				<200KW PV, NY Sun	11,232	
				<200KW PV, NY Sun	5,160	
				<200KW PV, NY-Sun	7,044	
Arcadis of New York, Inc.		CAYUGA	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Bergmann Associates		ONONDAGA	National Grid	RENEWABLE HEAT NY, Technical Review and Program S	2,200	
				Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500	
				Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
				Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Bloom Energy Corporation		ONONDAGA	National Grid	FUEL CELLS, HD #1235-Cicero, NY	781,518	
				FUEL CELLS, HD #1236-Dewitt, NY	898,395	
				FUEL CELLS, HD #1257-Camillus, NY	962,399	
				FUEL CELLS, HD #6153-Clay, NY	894,334	
C.T. Male Associates Engineering.		OSWEGO	National Grid	Flexible Tech Assistance, FlexTech Consultant Selection	3,750	
CDH Energy Corporation		ONONDAGA	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,500	
				Agriculture Energy Eff Pgm, FlexTech Consultant Selection	6,345	
				Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
				NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	6,000
		OSWEGO	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Cellico Partnership		ONONDAGA	National Grid	Industrial Process Effic, Industrial Process Efficiency	6,136	
Cicero Volunteer Fire Department		ONONDAGA	National Grid	NEW CONSTRUCTION PROGRAM, NCP12941 - Cicero Fire Station	7,300	
City of Cortland		CORTLAND	National Grid	Anaerobic Digesters, ADG-to-Electricity Project	2,000,000	
CNY Solar, Inc.		MADISON	National Grid	<200KW PV, NY-Sun	900	
				<200KW PV, NY-Sun	28,152	
				<200KW PV, NY-Sun	226	
				NYS Electric and Gas	<200KW PV, NY Sun	18,352
		ONONDAGA	National Grid	<200KW PV, NY Sun	12,880	
Cypress Creek Renewables LLC		ONONDAGA	National Grid	>200KW PV, NY-Sun	1,109,185	
DeWitt Community Library		ONONDAGA	National Grid	NEW CONSTRUCTION PROGRAM, NCP13183-DeWittCommunityLibrar	19,294	
Douglas R Jarvis		OSWEGO	National Grid	<200KW PV, NY Sun	9,856	
EME Consulting Engineering Group, LLC		MADISON	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
				NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
				ONONDAGA	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection

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Central New York	EME Consulting Engineering Group, LLC	ONONDAGA	National Grid	Commercial New Construc, EME - EMP	20,500	
				NEW CONSTRUCTION PROGRAM, EME - EMP	9,760	
	Fourth Coast, Inc.	ONONDAGA	National Grid	<200KW PV, NY Sun	19,716	
	GRE Fund II Holdco LLC	ONONDAGA	National Grid	>200KW PV, NY-Sun	168,965	
	Grober Nutrition LLC	CAYUGA	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP13017 - Gladys	73,768	
	Halcyon, Inc.	CORTLAND	National Grid	<200KW PV, NY Sun	44,744	
		MADISON	National Grid	<200KW PV, NY Sun	6,240	
	Island Hollow L.P.	ONONDAGA	National Grid	Low Rise New Construction, New Construction	85,400	
	Johnson Controls Inc.	MADISON	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant Selection	24,837	
	L&S Energy Services, Inc.	MADISON	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		ONONDAGA	National Grid	Industrial Process Effic, Technical Review and Program S	3,830	
	LaBella Associates, P.C.	CORTLAND	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
	M/E Engineering, P.C.	CAYUGA	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	Midstate Printing Corp	ONONDAGA	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	143,082	
	Neighborhood Innovations, Inc	ONONDAGA	National Grid	Low Rise New Construction, New Construction	58,300	
	Nickels Energy Solutions LLC	ONONDAGA	National Grid	<200KW PV, NY-Sun	5,184	
	Oneida Public Library	MADISON	National Grid	NEW CONSTRUCTION PROGRAM, NCP11088 - Oneida Public Libra	13,391	
	Paradise Energy Solutions, LLC	CAYUGA	Rochester Gas and El.	<200KW PV, NY Sun	5,984	
		ONONDAGA	National Grid	<200KW PV, NY Sun	6,448	
		OSWEGO	National Grid	<200KW PV, NY Sun	11,160	
	Pathfinder Engineers & Architects, LLP	ONONDAGA	National Grid	NEW CONSTRUCTION PROGRAM, Pathfinder - EMP	9,104	
	Prima Terra Properties LLC	ONONDAGA	National Grid	NEW CONSTRUCTION PROGRAM, NCP14035 - Hampton Inn & Suite	44,787	
	Renovus Energy, Inc.	CAYUGA	NYS Electric and Gas	<200KW PV, NY Sun	10,000	
		ONONDAGA	National Grid	<200KW PV, NY Sun	23,152	
	Rich & Gardner Construction Co., Inc.	CORTLAND	National Grid	Low Rise New Construction, Codes & New Construction	39,000	
		ONONDAGA	National Grid	Low Rise New Construction, New Construction	56,000	
	SolarCity Corporation	CORTLAND	National Grid	>200KW PV, NY Sun	4,396,814	
		ONONDAGA	National Grid	>200KW PV, NY Sun	919,860	
	Stantec Consulting Services, Inc.	ONONDAGA	National Grid	NEW CONSTRUCTION PROGRAM, Stantec-Energy Modeling Partne	13,830	
	SUNY College of Environmental Science an	ONONDAGA	National Grid	Flexible Tech Assistance, FT11519 - SUNY College of Envi	62,300	
	SUNY Oswego	OSWEGO	National Grid	NEW CONSTRUCTION PROGRAM, NCP12908 - Scales Residence Ha	19,913	
	Syracuse Community Hotel Restoration Com	ONONDAGA	National Grid	NEW CONSTRUCTION PROGRAM, NCP12740 - Hotel Syracuse Rest	163,586	
	Syracuse Label & Surround Printing	ONONDAGA	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	104,483	
	Taitem Engineering, P.C.	CORTLAND	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	9,000	
		OSWEGO	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	Tessy Plastics Corp	ONONDAGA	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficiency	350,504	
	TRC Energy Services	ONONDAGA	National Grid	Industrial Process Effic, Technical Review and Program S	4,950	
	Two Plus Four Construction Co., Inc.	CAYUGA	NYS Electric and Gas	Low Rise New Construction, New Construction	55,400	
		MADISON	National Grid	Low Rise New Construction, Codes & New Construction	32,000	
	United Wind Project I, LLC	CAYUGA	NYS Electric and Gas	SMALL WIND, Wind Turbine Incentive	77,896	
		OSWEGO	National Grid	SMALL WIND, Wind Turbine Incentive	36,770	
	Upstate Alternative Energy	ONONDAGA	National Grid	<200KW PV, NY Sun	15,776	
	Verizon Corporate Services Group	ONONDAGA	National Grid	EXISTING FACILITIES, EFP2122-Verizon - Verizon BMS	18,232	
	Vincent's Heating and Fuel Service, LLC	CAYUGA	Rochester Gas and El.	RENEWABLE HEAT NY, Renewable Heating & Cooling	10,000	
	Viola Homes Inc.	ONONDAGA	National Grid	<200KW PV, NY Sun	9,936	
	WestRock	ONONDAGA	National Grid	Industrial Process Effic, Industrial Process Efficiency	18,170	
	<b>Total</b>					<b>14,189,568</b>
	Finger Lakes	401 West Shore Blvd Holdings	WAYNE	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP12498 - NewCut Facility	9,187
		Alternative Power Solutions of NY, LLC	MONROE	Rochester Gas and El.	<200KW PV, NY Sun	5,520
		Antares Group, Inc.	MONROE	Rochester Gas and El.	EXISTING FACILITIES, Technical Review and Program S	6,246
		Apex Solar Power LLC	LIVINGSTON	National Grid	<200KW PV, NY Sun	7,200
			WYOMING	NYS Electric and Gas	<200KW PV, NY Sun	6,160
		Bergmann Associates	GENESEE	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		MONROE	Rochester Gas and Electric	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
				On-Site Energy Manager, FlexTech Consultant Selection	192,839	
		ONTARIO	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Big Tree Glen Housing Development Fund		GENESEE	National Grid	NEW YORK ENERGY STAR HOMES, New Construction	140,000	
Borrego Solar Systems, Inc.		ONTARIO	NYS Electric and Gas	>200KW PV, NY Sun	2,091,952	
Buffalo Solar Solutions Inc		WYOMING	National Grid	<200KW PV, NY Sun	5,040	
			NYS Electric and Gas	<200KW PV, NY Sun	5,400	
C.J. Brown Energy, P.C.		LIVINGSTON	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		MONROE	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		ONTARIO	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		WAYNE	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		WYOMING	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,207	
CDH Energy Corporation		ONTARIO	NYS Electric and Gas	Industrial Process Effic, Technical Review and Program S	20,530	
CHA Consulting Inc.		MONROE	Rochester Gas and Electric	EXISTING FACILITIES, Technical Review and Program S	2,000	
				Flexible Tech Assistance, FlexTech Consultant CHA	43,490	
				On-Site Energy Manager, FlexTech Consultant CHA	234,375	
		ONTARIO	Rochester Gas and Electric	Flexible Tech Assistance, FlexTech Consultant CHA	14,750	
				On-Site Energy Manager, FlexTech Consultant CHA	234,375	
		WAYNE	Rochester Gas and El.	Industrial Process Effic, Technical Review and Program S	8,300	
CIR ELECTRICAL CONSTRUCTION CORP.		GENESEE	National Grid	<200KW PV, NY Sun	77,360	
		ORLEANS	National Grid	<200KW PV, NY Sun	24,838	
				<200KW PV, NY-Sun	11,098	
		WYOMING	National Grid	<200KW PV, NY-Sun	688	
Collegiate Builders		MONROE	Rochester Gas and El.	<200KW PV, NY Sun	6,000	
Connection Technology Center, Inc.		ONTARIO	Rochester Gas and El.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	2,621	
Cypress Creek Renewables LLC		GENESEE	National Grid	>200KW PV, NY Sun	1,109,185	
		ONTARIO	Rochester Gas and El.	>200KW PV, NY-Sun	1,109,185	
		SENECA	NYS Electric and Gas	>200KW PV, NY-Sun	1,109,185	
		WAYNE	Rochester Gas and El.	>200KW PV, NY Sun	1,045,803	
D. F. Brandt, Inc.		MONROE	Rochester Gas and El.	Industrial Process Effic, Industrial Process Efficiency	61,938	
Dailey Electric Inc		ONTARIO	Rochester Gas and El.	<200KW PV, NY Sun	7,728	
Distributed Sun, LLC		YATES	NYS Electric and Gas	>200KW PV, NY Sun	845,159	
DJ Acquisition Management DBA Weco Manuf		WAYNE	Rochester Gas and El.	Industrial Process Effic, Industrial Process Efficiency	54,867	
Dueppengisser Dairy Co.		WYOMING	NYS Electric and Gas	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	9,008	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Finger Lakes	East Main Associates LLC	MONROE	Rochester Gas and El.	Low Rise New Construction, Codes & New Construction	67,400
	East Pembroke Fire District	GENESEE	National Grid	NEW CONSTRUCTION PROGRAM, NCP11478 - East Pembroke Fire	6,136
	Ecovis, Inc.	MONROE	Rochester Gas and El.	<200KW PV, NY Sun	35,477
	EMCOR Services Betlem	MONROE	Rochester Gas and El.	On-Site Energy Manager, FlexTech Consultant Selection	153,906
	Erdman Anthony & Associates, Inc.	GENESEE	National Grid	Industrial Process Effic, Technical Review and Program S	3,906
		MONROE	Rochester Gas and El.	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	4,095
		ONTARIO	NYS Electric and Gas	Industrial Process Effic, Technical Review and Program S	3,185
		WAYNE	Rochester Gas and El.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,500
	Foodlink, Inc.	MONROE	Rochester Gas and El.	NEW CONSTRUCTION PROGRAM, NCP13149 - Foodlink Expansion	17,472
	Forteq North America Inc.	MONROE	Rochester Gas and El.	Industrial Process Effic, Industrial Process Efficiency	38,547
	G. W. Lisk Co. Inc.	ONTARIO	NYS Electric and Gas	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	21,464
	GRE Fund II Holdco LLC	MONROE	Rochester Gas and El.	>200KW PV, NY-Sun	168,965
	Guardian Industries Corporation	ONTARIO	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficiency	568,470
	Halcyon, Inc.	ONTARIO	Rochester Gas and El.	<200KW PV, NY-Sun	5,088
	High Falls Operating Co, LLC	MONROE	Rochester Gas and El.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	50,000
	Ithaca Neighborhood Housing Services, In	SENECA	NYS Electric and Gas	Low Rise New Construction, Codes & New Construction	57,000
	Jewish Home of Rochester	MONROE	Rochester Gas and Electric	NEW CONSTRUCTION PROGRAM, NCP12489-JewishSeniorLife-OFLT	31,434
				NEW CONSTRUCTION PROGRAM, NCP12720 - The Green Houses	30,872
	John W.Danforth Co, Inc.	MONROE	Rochester Gas and El.	EXISTING FACILITIES, EFP2176-John Danforth - Monroe	17,415
	Johnson Controls Inc.	MONROE	Rochester Gas and El.	Flexible Tech Assistance, FlexTech Consultant Selection	70,794
	L&S Energy Services, Inc.	MONROE	Rochester Gas and El.	Industrial Process Effic, Technical Review and Program S	8,080
	LaBella Associates, P.C.	MONROE	Rochester Gas and Electric	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
				Industrial Process Effic, Technical Review and Program S	10,390
		ORLEANS	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		WYOMING	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Lake Breeze Fruit Farms Inc	WAYNE	Rochester Gas and El.	>200KW PV, NY Sun	359,253
	LiDestri Foods, Inc.	MONROE	Rochester Gas and El.	Industrial Process Effic, Industrial Process Efficiency	97,255
	M/E Engineering, P.C.	MONROE	Rochester Gas and Electric	Commercial New Construc, M/E - EMP	27,400
				Industrial Process Effic, Technical Review and Program S	7,225
	Monroe County	MONROE	Rochester Gas and El.	EXISTING FACILITIES, EFP2627 - County of Monroe	143,398
	Newcastle Home Construction	YATES	NYS Electric and Gas	Low Rise New Construction, New Construction	5,000
	Norbut Farm LLC	MONROE	Rochester Gas and El.	>200KW PV, NY Sun	1,062,226
	Northeast Agriculture Technology Corpora	GENESEE	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	NYS Department of Transportation	MONROE	Rochester Gas and El.	NEW CONSTRUCTION PROGRAM, NCP11456-RochesterIntermodal	20,715
	O'Connell Electric Company	MONROE	Rochester Gas and Electric	<200KW PV, NY Sun	7,300
				<200KW PV, NY-Sun	29,888
		WAYNE	Rochester Gas and El.	<200KW PV, NY Sun	5,368
	OLEDWorks LLC	MONROE	Rochester Gas and El.	ADVANCED BUILDINGS, OLED Panel and Luminare	50,000
	OneEnergy Development LLC	MONROE	Rochester Gas and El.	>200KW PV, NY Sun	1,213,301
	Pactiv Corp.	ONTARIO	Rochester Gas and El.	Industrial Process Effic, Industrial Process Efficiency	138,387
	Paradise Energy Solutions, LLC	SENECA	NYS Electric and Gas	<200KW PV, NY Sun	5,828
		WAYNE	Rochester Gas and El.	<200KW PV, NY-Sun	5,624
		YATES	NYS Electric and Gas	<200KW PV, NY Sun	28,064
	Pathstone Corporation	MONROE	Rochester Gas and El.	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York	68,037
	Power Management Co., LLC	MONROE	Rochester Gas and El.	<200KW PV, NY Sun	8,004
	QwikSolar, LLC	LIVINGSTON	Rochester Gas and El.	<200KW PV, NY Sun	5,824
		ONTARIO	NYS Electric and Gas	<200KW PV, NY Sun	41,976
				<200KW PV, NY-Sun	13,560
				<200KW PV, NY-Sun	6,880
		SENECA	NYS Electric and Gas	<200KW PV, NY Sun	81,922
		WAYNE	Rochester Gas and Electric	<200KW PV, NY Sun	5,376
				<200KW PV, NY-Sun	8,800
		YATES	NYS Electric and Gas	<200KW PV, NY Sun	6,600
				<200KW PV, NY-Sun	9,000
	Renovus Energy, Inc.	WAYNE	Rochester Gas and El.	<200KW PV, NY Sun	39,272
	Rochester Institute of Technology	MONROE	Rochester Gas and El.	NEW CONSTRUCTION PROGRAM, NCP14064 - Global Village - Ph	20,583
	Semrock, Inc.	MONROE	Rochester Gas and El.	INDUSTRIAL PROCESS EFFICIENCY, Industrial & Agriculture	49,891
	Solar and Wind FX, Inc. (Chris Schaefer)	WAYNE	Rochester Gas and El.	<200KW PV, NY Sun	6,832
	Solar Liberty Energy Systems, Inc	MONROE	Rochester Gas and El.	>200KW PV, NY-Sun C&I	125,588
	SolarCity Corporation	LIVINGSTON	National Grid	>200KW PV, NY Sun	919,860
		ORLEANS	National Grid	>200KW PV, NY Sun	308,207
	State University of New York College	LIVINGSTON	Rochester Gas and El.	NEW CONSTRUCTION PROGRAM, NCP12157-RedJacketDining-OFLT	15,232
	Steed Energy LLC	YATES	NYS Electric and Gas	<200KW PV, NY Sun	6,624
	Sustainable Energy Developments Inc.	LIVINGSTON	National Grid	<200KW PV, NY Sun	15,552
		MONROE	National Grid	<200KW PV, NY Sun	12,438
				<200KW PV, NY Sun	65,000
				SMALL WIND, Wind Turbine Incentive	7,539
		WAYNE	Rochester Gas and El.	<200KW PV, NY Sun	183,470
		WYOMING	NYS Electric and Gas	<200KW PV, NY Sun	6,912
	Taitem Engineering, P.C.	SENECA	NYS Electric and Gas	<200KW PV, NY Sun	7,063
		WAYNE	Rochester Gas and El.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
		YATES	Municipal Utilities	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,999
	Traco Manufacturing, Inc.	GENESEE	National Grid	Industrial Process Effic, Industrial Process Efficiency	15,722
	Trane	YATES	NYS Electric and Gas	EXISTING FACILITIES, EFP2598 - Trane; Keuka College	3,626
	United Wind Project I, LLC	GENESEE	National Grid	SMALL WIND, Wind Turbine Incentive	121,784
		ORLEANS	National Grid	SMALL WIND, Wind Turbine Incentive	75,851
		WAYNE	Rochester Gas and El.	SMALL WIND, Wind Turbine Incentive	37,409
		WYOMING	National Grid	SMALL WIND, Wind Turbine Incentive	41,286
				SMALL WIND, Wind Turbine Incentive	37,517
	Van Slyke Sustainable Dairy Digester LLC	WYOMING	Rochester Gas and El.	ANAEROBIC DIGESTER, ADG-to-Electricity Project	2,000,000
	Verari Financial Services, LLC	MONROE	Rochester Gas and El.	FUEL CELLS, RPS CST Fuel Cell at RIT	800,000
	Viola Homes Inc.	MONROE	Rochester Gas and El.	<200KW PV, NY Sun	18,300
	Washington Gas Energy Systems Inc.	LIVINGSTON	National Grid	NY-SUN, NY-Sun	564,401
		ONTARIO	NYS Electric and Gas	NY-SUN, NY-Sun	1,146,069
	Wegmans Food Markets, Inc.	MONROE	Rochester Gas and El.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	395,853
	Xzerta Energy Group LLC	MONROE	Rochester Gas and El.	>200KW PV, NY Sun	1,212,397
	You Save Green Incorporated	MONROE	Rochester Gas and El.	<200KW PV, NY Sun	6,466

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Finger Lakes	You Save Green Incorporated	ONTARIO	Rochester Gas and El.	>200KW PV, NY Sun	1,565,574	
		WAYNE	Rochester Gas and El.	>200KW PV, NY Sun	1,565,574	
	<b>Total</b>				24,786,933	
Long Island	443 Gas Corp	SUFFOLK	PSEG Long Island	FUEL NY, PGI00111 - 443 Gas Corp.	16,140	
	575 Fuel Inc	NASSAU	PSEG Long Island	FUEL NY, PGI00299 - 575 Fuel Inc.	18,691	
	1020 Route 109 Corp.	SUFFOLK	PSEG Long Island	FUEL NY, PGI00239 - 1020 Route 109 Corp	34,825	
	1050 Udall Road Corp.	SUFFOLK	PSEG Long Island	FUEL NY, PGI00233 - 1050 Udall Road Cor	80,400	
	1099 Horseblock Realty LLC	SUFFOLK	PSEG Long Island	FUEL NY, PGI00069 - 1099 Horseblock Rea	69,089	
	1185 Straight Path Corp.	SUFFOLK	PSEG Long Island	FUEL NY, PGI00026 - 1185 Straight Path	70,064	
				FUEL NY, PGI00122 - 1185 Straight Path	68,661	
	1258 Middle Country Realty LLC	SUFFOLK	PSEG Long Island	FUEL NY, PGI00073 - 1258 Middle Country	90,422	
	Alliance Energy LLC	NASSAU	PSEG Long Island	FUEL NY, PGI00025 - Alliance Energy LLC	76,731	
	Anjon of Bridgehampton Inc	SUFFOLK	PSEG Long Island	FUEL NY, PGI00009 - Anjon of Bridgehamp	74,200	
	Bolla Operating LI Corp.	NASSAU	Municipal Utilities	FUEL NY, PGI00098 - Bolla Operating LI	70,402	
				PSEG Long Island	FUEL NY, PGI00016 - Bolla Operating LI	60,853
			FUEL NY, PGI00043 - Bolla Operating LI	80,483		
			FUEL NY, PGI00044 - Bolla Operating LI	75,774		
			FUEL NY, PGI00045 - Bolla Operating LI	72,333		
			FUEL NY, PGI00084 - Bolla Operating LI	86,561		
			FUEL NY, PGI00086 - Bolla Operating LI	84,816		
			FUEL NY, PGI00102 - Bolla Operating LI	68,203		
			FUEL NY, PGI00142 - Bolla Operating LI	63,704		
			FUEL NY, PGI00191 - Bolla Operating LI	33,742		
			SUFFOLK	PSEG Long Island	FUEL NY, PGI00030 - Bolla Operating LI	87,288
					FUEL NY, PGI00032 - Bolla Operating LI	75,225
					FUEL NY, PGI00060 - Bolla Operating LI	72,246
					FUEL NY, PGI00085 - Bolla Operating LI	64,861
					FUEL NY, PGI00088 - Bolla Operating LI	65,644
	FUEL NY, PGI00152 - Bolla Operating LI	70,808				
	C&S Oil Corporation	NASSAU	PSEG Long Island	FUEL NY, PGI00121 - C&S Oil Corporation	70,000	
	Car Care of Manhasset Inc	NASSAU	PSEG Long Island	FUEL NY, PGI00107 - Car Care of Manhass	32,498	
	Deer Hills Service, LLC	SUFFOLK	PSEG Long Island	FUEL NY, PGI00118 - Deer Hills Service	58,648	
	Eastern Energy Systems Inc.	SUFFOLK	PSEG Long Island	<200KW PV, NY-Sun	24,474	
	Eldor Contracting Corporation	SUFFOLK	PSEG Long Island	<200KW PV, NY Sun	13,936	
	Empower CES, LLC	SUFFOLK	PSEG Long Island	<200KW PV, NY-Sun	24,510	
	EnterSolar LLC	NASSAU	PSEG Long Island	<200KW PV, NY-Sun	62,500	
				SUFFOLK	PSEG Long Island	<200KW PV, NY Sun
				<200KW PV, NY-Sun	471,358	
	FBD Realty	NASSAU	PSEG Long Island	EXISTING FACILITIES, EFP2389 - FBD Realty LLC - mul	2,862	
	Forest Avenue Service Station Inc	NASSAU	PSEG Long Island	FUEL NY, PGI00195 - Forest Avenue Servi	45,200	
	Gasoline Heaven	SUFFOLK	PSEG Long Island	FUEL NY, PGI00202 - Gasoline Heaven at	67,372	
	Global Montello Group Corp.	NASSAU	PSEG Long Island	FUEL NY, PGI00028 - Global Montello Gro	65,169	
				SUFFOLK	PSEG Long Island	FUEL NY, PGI00034 - Global Montello Gr
	Go Solar/Green NY, LLC	NASSAU	PSEG Long Island	<200KW PV, NY Sun	8,175	
	Green Street Power Partners LLC	NASSAU	PSEG Long Island	<200KW PV, NY-Sun	21,100	
	GreenLogic, LLC	NASSAU	PSEG Long Island	<200KW PV, NY Sun	26,872	
	Harvest Power, LLC	SUFFOLK	PSEG Long Island	<200KW PV, NY Sun	16,328	
				<200KW PV, NY Sun	34,239	
				<200KW PV, NY Sun	20,430	
				<200KW PV, NY-Sun	125,000	
	Hawaii Energy Connection	SUFFOLK	PSEG Long Island	<200KW PV, NY-Sun	33,384	
	IPPsolar Integration LLC	NASSAU	PSEG Long Island	<200KW PV, NY Sun	46,933	
	Island Energy	SUFFOLK	PSEG Long Island	FUEL NY, PGI00117 - Island Energy	34,961	
	Josh Packaging	SUFFOLK	PSEG Long Island	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	236,000	
	Kevin J Creamer	SUFFOLK	PSEG Long Island	<200KW PV, NY Sun	36,346	
	Leon Petroleum	SUFFOLK	PSEG Long Island	FUEL NY, PGI00029 - Leon Petroleum	72,619	
	Long Island Power Solutions	SUFFOLK	PSEG Long Island	<200KW PV, NY Sun	46,483	
	Long Island Progressive Coalition	NASSAU	PSEG Long Island	CLEANER GREENER COMMUNITIES, GJGNY Outreach CBO	220,204	
	Malverne Gas Inc.	SUFFOLK	PSEG Long Island	FUEL NY, PGI00247 - Malverne Gas Inc.	21,233	
	MCA SERVICE CORP	SUFFOLK	PSEG Long Island	FUEL NY, PGI00205 - MCA Service Corp.	35,700	
	Milton P. Enstine & Sons, Inc.	SUFFOLK	PSEG Long Island	FUEL NY, PGI00110 - Milton P. Enstine &	13,505	
	Mukti 77 Petroleum Inc	NASSAU	Consolidated Edison	FUEL NY, PGI00210 - Mukti 77 Petroleum	48,319	
	OK Petroleum Distribution Corp	NASSAU	PSEG Long Island	FUEL NY, PGI00196 - OK Petroleum Distri	85,144	
				FUEL NY, PGI00089 - OK Petroleum Distri	67,186	
				FUEL NY, PGI00090 - OK Petroleum Distri	79,430	
				FUEL NY, PGI00091 - OK Petroleum Distri	69,776	
				FUEL NY, PGI00092 - OK Petroleum Distri	79,430	
				FUEL NY, PGI00160 - OK Petroleum Distri	79,641	
				FUEL NY, PGI00161 - OK Petroleum Distri	86,392	
				FUEL NY, PGI00237 - Petrogas Group US I	70,000	
	Petrogas Group	SUFFOLK	PSEG Long Island	FUEL NY, PGI00235 - Petrogas Group US	70,000	
	Pinsu Inc.	SUFFOLK	PSEG Long Island	FUEL NY, PGI00206 - Pinsu Inc.	34,425	
	PMG Northeast LLC	NASSAU	Municipal Utilities	FUEL NY, PGI00019 - PMG Northeast LLC	71,313	
				PSEG Long Island	FUEL NY, PGI00018 - PMG Northeast LLC	63,826
			FUEL NY, PGI00020 - PMG Northeast LLC	52,085		
			FUEL NY, PGI00046 - PMG Northeast LLC	52,166		
			FUEL NY, PGI00054 - PMG Northeast LLC	70,796		
			FUEL NY, PGI00080 - PMG Northeast LLC	63,179		
			FUEL NY, PGI00081 - PMG Northeast LLC	56,090		
			FUEL NY, PGI00137 - PMG Northeast LLC	83,568		
			FUEL NY, PGI00139 - PMG Northeast LLC	59,356		
			FUEL NY, PGI00162 - PMG Northeast LLC	69,821		
			FUEL NY, PGI00164 - PMG Northeast LLC	64,142		
			FUEL NY, PGI00172 - PMG Northeast LLC	65,514		
			FUEL NY, PGI00181 - PMG Northeast LLC	78,004		
			FUEL NY, PGI00182 - PMG Northeast LLC	75,754		
			FUEL NY, PGI00197 - PMG Northeast LLC	73,332		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
Long Island	PMG Northeast LLC	NASSAU	PSEG Long Island	FUEL NY, PGI00198 - PMG Northeast LLC	67,188		
				FUEL NY, PGI00199 - PMG Northeast LLC	53,006		
				FUEL NY, PGI00203 - PMG Northeast LLC	65,289		
				SUFFOLK	PSEG Long Island	FUEL NY, PGI00021 - PMG Northeast LLC	53,921
						FUEL NY, PGI00023 - PMG Northeast LLC	71,035
		FUEL NY, PGI00024 - PMG Northeast LLC	63,773				
		FUEL NY, PGI00047 - PMG Northeast LLC	47,485				
		FUEL NY, PGI00048 - PMG Northeast LLC	65,126				
		FUEL NY, PGI00049 - PMG Northeast LLC	66,287				
		FUEL NY, PGI00074 - PMG Northeast LLC	61,313				
		FUEL NY, PGI00075 - PMG Northeast LLC	67,793				
		FUEL NY, PGI00076 - PMG Northeast LLC	57,644				
		FUEL NY, PGI00077 - PMG Northeast LLC	67,582				
		FUEL NY, PGI00078 - PMG Northeast LLC	78,193				
		FUEL NY, PGI00178 - PMG Northeast LLC	65,378				
		FUEL NY, PGI00179 - PMG Northeast LLC	67,989				
		FUEL NY, PGI00180 - PMG Northeast LLC	58,564				
		FUEL NY, PGI00186 - PMG Northeast LLC	74,066				
		FUEL NY, PGI00200 - PMG Northeast LLC	66,977				
		R & A Petroleum Corp	SUFFOLK	PSEG Long Island	FUEL NY, PGI00214 - R & A Petroleum Cor	70,000	
	Solar Dad and Sons Inc	NASSAU	PSEG Long Island	<200KW PV, NY-Sun	41,350		
	SuNation Solar Systems, Inc.	NASSAU	PSEG Long Island	<200KW PV, NY Sun	16,240		
		SUFFOLK	PSEG Long Island	<200KW PV, NY-Sun	245,845		
				<200KW PV, NY Sun	123,089		
				<200KW PV, NY-Sun	26,758		
	SunPower SolarProgram 1, LLC	SUFFOLK	PSEG Long Island	<200KW PV, NY Sun	47,000		
	SUNRISE ELECTRICAL SERVICES	SUFFOLK	PSEG Long Island	<200KW PV, NY-Sun	10,920		
	Suten Inc	SUFFOLK	PSEG Long Island	FUEL NY, PGI00257 - Suten Inc.	80,000		
	Trisul Inc	SUFFOLK	PSEG Long Island	FUEL NY, PGI00145 - Trisul Inc.	54,700		
	Wellwood Energy	SUFFOLK	PSEG Long Island	FUEL NY, PGI00115 - Wellwood Energy	35,669		
	<b>Total</b>				<b>7,580,678</b>		
	Mid-Hudson	322 Kear LLC	WESTCHESTER	NYS Electric and Gas	Low Rise New Construction, Codes & New Construction	13,000	
		Adam C. Boese	DUTCHESS	Central Hudson Gas a.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
ORANGE			Orange and Rockland..	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	13,390		
PUTNAM			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	2,500		
ULSTER			Central Hudson Gas a.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		
Aegis Energy Services Inc.		ROCKLAND	Orange and Rockland..	COMBINED HEAT AND POWER, CHPA - Green Hills Home	57,750		
Aeonsolar		WESTCHESTER	Consolidated Edison	<200KW PV, NY Sun	27,239		
Alliance Cooperative Energy LLC		WESTCHESTER	Consolidated Edison	<200KW PV, NY Sun	6,210		
American Solar Partners, LLC		ULSTER	Central Hudson Gas a.	<200KW PV, NY-Sun	240		
Apex Solar Power LLC		DUTCHESS	Central Hudson Gas a.	<200KW PV, NY Sun	6,480		
		ORANGE	Orange and Rockland..	<200KW PV, NY Sun	21,830		
Arcadis of New York, Inc.		SULLIVAN	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		
		ULSTER	Central Hudson Gas a.	Flexible Tech Assistance, FlexTech Consultant Selection	14,995		
Astrum Solar, Inc.		DUTCHESS	Central Hudson Gas a.	<200KW PV, NY Sun	18,168		
		ORANGE	Orange and Rockland..	<200KW PV, NY Sun	5,830		
		ULSTER	Central Hudson Gas a.	<200KW PV, NY Sun	5,724		
BH Coffee Company LLC		WESTCHESTER	Consolidated Edison	Industrial Process Effic, IPE16021-Barrie House Coffee	35,500		
BJ's Wholesale Club		DUTCHESS	Central Hudson Gas a.	EXISTING FACILITIES, EFP2231 - BJ's 4 Sites	97,467		
Black Cherry Services Group, Inc.		SULLIVAN	NYS Electric and Gas	<200KW PV, NY-Sun	5,348		
Bluestone Energy Services		DUTCHESS	Central Hudson Gas a.	EXISTING FACILITIES, EFP2507 - Bluestone Energy -	3,594		
		WESTCHESTER	Consolidated Edison	EXISTING FACILITIES, EFP2507 - Bluestone Energy -	5,576		
Borrego Solar Systems, Inc.		ORANGE	Orange and Rockland..	>200KW PV, NY Sun	3,275,483		
Celco Partnership		DUTCHESS	Central Hudson Gas a.	Industrial Process Effic, Industrial Process Efficiency	69,860		
City of Middletown		ORANGE	Orange and Rockland..	ANAEROBIC DIGESTER, RPS CST ADG-Middletown Sewage	1,760,220		
Clinton Terrace L.P.		WESTCHESTER	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	20,000		
Communications Specialists, Inc.		DUTCHESS	Central Hudson Gas a.	<200KW PV, NY Sun	5,886		
COOPER ELECTRIC SUPPLY INC		ORANGE	Orange and Rockland..	NY-SUN, NY-Sun Comp. Monroe Cable	787,874		
Croton Falls Gas Mart		WESTCHESTER	NYS Electric and Gas	FUEL NY, PGI00273 - Croton Falls Gas Ma	26,830		
Croton on the Hudson Gas Station Inc.		WESTCHESTER	Consolidated Edison	FUEL NY, PGI00042 - Croton on the Hudso	16,281		
Cutone & Company Consultants, LLC		WESTCHESTER	Consolidated Edison	EXISTING FACILITIES, EFP1752 - Iona College	8,422		
Cypress Creek Renewables LLC		DUTCHESS	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,331,022		
		SULLIVAN	NYS Electric and Gas	>200KW PV, NY-Sun C&I	2,662,043		
		Orange and Rockland..	>200KW PV, NY-Sun	1,331,022			
Danfoss Holding Security Corporation		ORANGE	Orange and Rockland..	EXISTING FACILITIES, EFP2446 - Danfoss; Shoprite	105,059		
		SULLIVAN	NYS Electric and Gas	EXISTING FACILITIES, EFP2446 - Danfoss; Shoprite	39,638		
DeCiccio Market Place		WESTCHESTER	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP14052 - DeCiccio of Katonah	54,946		
Dynamic Energy Solutions, LLC		DUTCHESS	Central Hudson Gas a.	>200KW PV, NY-Sun C&I	190,319		
EME Consulting Engineering Group, LLC		WESTCHESTER	Consolidated Edison	Commercial New Construc. EME - EMP	12,500		
				NEW CONSTRUCTION PROGRAM, Technical Assistance Services	17,500		
Empire Solar Solutions LLC		DUTCHESS	Central Hudson Gas a.	<200KW PV, NY Sun	31,500		
		ORANGE	Central Hudson Gas a.	<200KW PV, NY Sun	22,960		
		Orange and Rockland..	<200KW PV, NY Sun	56,792			
		ROCKLAND	Orange and Rockland..	<200KW PV, NY Sun	6,120		
		ULSTER	Central Hudson Gas a.	<200KW PV, NY Sun	12,604		
		WESTCHESTER	Consolidated Edison	<200KW PV, NY Sun	14,568		
Empire State Realty OP, LP		WESTCHESTER	Consolidated Edison	EXISTING FACILITIES, EFP2350 - Empire State Realty	586,197		
Empower CES, LLC		WESTCHESTER	Consolidated Edison	<200KW PV, NY Sun	18,518		
Energy & Resource Solutions, Inc.		DUTCHESS	Central Hudson Gas a.	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	6,600		
		WESTCHESTER	Consolidated Edison	EXISTING FACILITIES, Technical Review and Program S	6,390		
Energy Reduction Assets LLC		WESTCHESTER	Consolidated Edison	EXISTING FACILITIES, EFP2351 - Energy Reduction Ass	16,407		
			NYS Electric and Gas	EXISTING FACILITIES, EFP2351 - Energy Reduction Ass	19,043		
Energy Reduction Concepts, LLC		WESTCHESTER	Consolidated Edison	EXISTING FACILITIES, EFP2351 - Energy Reduction Ass	16,407		
			NYS Electric and Gas	EXISTING FACILITIES, EFP2351 - Energy Reduction Ass	19,043		
Eworld		SULLIVAN	Central Hudson Gas a.	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	128,222		
Extraterrestrial Materials Inc.		ORANGE	Orange and Rockland..	<200KW PV, NY Sun	10,000		



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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	Fordham University	WESTCHESTER	Consolidated Edison	EXISTING FACILITIES, EFP/DMP2132 - Fordham Univ.	15,148
	Frost Valley YMCA	SULLIVAN	Central Hudson Gas a.	OTHER PROGRAM AREA, Energy & Environmental/Analysis	13,670
	GES MEGAELEVEN, LLC	WESTCHESTER	Consolidated Edison	>200KW PV, NY Sun	684,184
	Global Resource Funding Partners LLC	ORANGE	Central Hudson Gas a.	NY-SUN, NY-Sun	198,086
		WESTCHESTER	Consolidated Edison	NY-SUN, NY-Sun	825,552
	Grabinski Solar LLC	ORANGE	Central Hudson Gas a.	>200KW PV, NY Sun	1,045,803
	Green Hybrid Energy Solutions Inc.	PUTNAM	NYS Electric and Gas	<200KW PV, NY Sun	10,212
		WESTCHESTER	Consolidated Edison	<200KW PV, NY-Sun	33,516
	Greenhill Contracting Inc.	ULSTER	Central Hudson Gas a.	Low Rise New Construction, Codes & New Construction	145,800
	Group-S LLC	WESTCHESTER	Consolidated Edison	EXISTING FACILITIES, EFP1805-Group S LCC dba En Pow	17,064
	Harvest Power, LLC	WESTCHESTER	Consolidated Edison	<200KW PV, NY Sun	5,120
	Heathcote Auto Sales & Leasing Corp	WESTCHESTER	Consolidated Edison	FUEL NY, PGI00146 - Heathcote Auto Sal	45,200
	Hudson Solar	DUTCHESS	Central Hudson Gas and Electric	<200KW PV, NY Sun	58,236
				<200KW PV, NY-Sun	104
			National Grid	<200KW PV, NY Sun	5,940
			NYS Electric and Gas	<200KW PV, NY Sun	8,580
		ORANGE	Orange and Rockland Utilities	<200KW PV, NY Sun	5,244
				<200KW PV, NY-Sun	5,246
		ULSTER	Central Hudson Gas and Electric	<200KW PV, NY Sun	16,296
				<200KW PV, NY-Sun	5,694
	Hudson Valley Hospital	WESTCHESTER	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP13047 - NYP Hudson Valley H	52,539
	Infinity Solar Systems, LLC	ORANGE	Orange and Rockland..	<200KW PV, NY Sun	5,628
	IPPSolar Integration LLC	ROCKLAND	Orange and Rockland..	<200KW PV, NY Sun	84,772
		WESTCHESTER	Consolidated Edison	<200KW PV, NY Sun	164,500
	Joan Raiselis	WESTCHESTER	Consolidated Edison	Low Rise New Construction, Codes & New Construction	5,500
	Joule Assets Inc	WESTCHESTER	NYS Electric and Gas	CLEANER GREENER COMMUNITIES, CGC57954 - Joule Assets	460,000
	Kilowatt Engineering, Inc.	DUTCHESS	Central Hudson Gas and Electric	EXISTING FACILITIES, Technical Review and Program S	3,052
				Industrial Process Effic, Technical Review and Program S	4,062
		ORANGE	Orange and Rockland..	EXISTING FACILITIES, Technical Review and Program S	18,546
	Kilowatt Financial, LLC	WESTCHESTER	Consolidated Edison	<200KW PV, NY-Sun	5,963
	Kingston City School District	ULSTER	Central Hudson Gas a.	NEW CONSTRUCTION PROGRAM, NCP12313 - Salzmann Building	168,616
	Kirchhoff Green Energy, LLC	DUTCHESS	Central Hudson Gas and Electric	<200KW PV, NY Sun	10,000
				<200KW PV, NY-Sun	6,624
	L&S Energy Services, Inc.	WESTCHESTER	Consolidated Edison	Industrial Process Effic, Technical Review and Program S	9,873
	Lewis Engineering, P.C.	SULLIVAN	Central Hudson Gas a.	OTHER PROGRAM AREA, Energy & Environmental/Analysis	13,150
	Lotus Energy, Inc.	DUTCHESS	Central Hudson Gas a.	<200KW PV, NY-Sun	5,616
		PUTNAM	Central Hudson Gas a.	<200KW PV, NY Sun	9,936
		ULSTER	Central Hudson Gas a.	<200KW PV, NY Sun	6,164
	Lowe's Home Centers Inc	WESTCHESTER	Consolidated Edison	Commercial New Construc, NCP15006 - Lowe's of Yonkers	48,369
	Marist College	DUTCHESS	Central Hudson Gas a.	NEW CONSTRUCTION PROGRAM, NCP12746-MaristCollegeNorthCam	100,213
	Mastercard International	WESTCHESTER	Consolidated Edison	Commercial New Construc, NCP15000 - MasterCard HQ-OFLT	26,277
	Matriarch Development Company	WESTCHESTER	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP12648 - 101 Wolfs Lane	8,850
	Merlin Larsen	ULSTER	Central Hudson Gas a.	Low Rise New Construction, New Construction	5,500
	Monolith Solar Associates, LLC	SULLIVAN	Orange and Rockland..	<200KW PV, NY Sun	5,040
	Montreign Operating Company LLC	SULLIVAN	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP13163 - Montreign Resort Ca	640,352
	MPW Enterprises LLC	ROCKLAND	Orange and Rockland..	FUEL NY, PGI00082 - MPW Enterprises LLC	24,750
	New York State Solar Farm Inc.	DUTCHESS	Central Hudson Gas a.	<200KW PV, NY Sun	12,464
		ORANGE	Orange and Rockland..	<200KW PV, NY Sun	5,226
		ULSTER	Central Hudson Gas a.	<200KW PV, NY Sun	6,932
	Nexant, Incorporated	ORANGE	Orange and Rockland..	Industrial Process Effic, Technical Review and Program S	10,182
	Northeast Agriculture Technology Corpora	ULSTER	Central Hudson Gas a.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	NorthWrite Inc.	WESTCHESTER	Consolidated Edison	Real Time Energy Management, Jim Diamond -42 Memorial- RTEM	15,726
	Novel Approaches Solar Applications, LLC	ORANGE	Orange and Rockland..	<200KW PV, NY Sun	11,080
		SULLIVAN	NYS Electric and Gas	<200KW PV, NY Sun	6,800
			Orange and Rockland..	<200KW PV, NY-Sun	504
		ULSTER	Central Hudson Gas a.	<200KW PV, NY Sun	5,544
	Novus Engineering, P.C.	ORANGE	Central Hudson Gas a.	NEW CONSTRUCTION PROGRAM, Energy Modeling Partner	9,500
		SULLIVAN	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, Energy Modeling Partner	16,024
		WESTCHESTER	Consolidated Edison	NEW CONSTRUCTION PROGRAM, Energy Modeling Partner	10,670
	NYS Office of Mental Health	ROCKLAND	Orange and Rockland..	EXISTING FACILITIES, EFP2296 - NYS Office of Mental	178,473
	Occupations, Inc.	ORANGE	Central Hudson Gas a.	NEW YORK ENERGY STAR HOMES, New Construction	216,000
			Orange and Rockland Utilities	Low Rise New Construction, Codes & New Construction	73,800
				Low Rise New Construction, New Construction	66,600
	OLA Consulting Engineers, P.C.	WESTCHESTER	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant Selection	18,575
	Omni-Navitas - MAP-ES NY LLC	ORANGE	NYS Electric and Gas	>200KW PV, NY Sun	1,776,879
			Orange and Rockland..	>200KW PV, NY Sun	1,824,347
	OnForce Solar	ORANGE	Orange and Rockland..	>200KW PV, NY Sun	734,786
	Orange and Rockland Utilities, Inc.	ROCKLAND	Orange and Rockland..	SMART GRID SYSTEMS, EPTD Smart Grid	1,075,002
	Orange Avenue Apartments LLC	ROCKLAND	Orange and Rockland..	Multifam New Construction, Codes & New Construction	37,400
	Paradise Energy Solutions, LLC	ORANGE	Central Hudson Gas a.	<200KW PV, NY Sun	48,968
		ULSTER	Central Hudson Gas a.	<200KW PV, NY Sun	16,384
	Pawling Corporation	DUTCHESS	NYS Electric and Gas	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	25,512
	PMG Northeast LLC	ROCKLAND	Orange and Rockland..	FUEL NY, PGI00130 - PMG Northeast LLC	60,479
	Port Authority of NY/NJ	ORANGE	Central Hudson Gas a.	NEW CONSTRUCTION PROGRAM, NCP10354 - Stewart Internation	20,934
	President Container Group II, LLC	ORANGE	Orange and Rockland..	Industrial Process Effic, Industrial Process Efficiency	83,444
	PTS Data Center Solutions Inc	WESTCHESTER	Consolidated Edison	Industrial Process Effic, Industrial Process Efficiency	29,257
	Real Goods Energy Tech, Inc	ROCKLAND	Orange and Rockland..	<200KW PV, NY Sun	22,544
	Ross Solar Group, LLC	WESTCHESTER	NYS Electric and Gas	<200KW PV, NY Sun	25,520
	Rural Ulster Preservation Company	ORANGE	Central Hudson Gas a.	Low Rise New Construction, New Construction	53,000
		ULSTER	Central Hudson Gas a.	CLEANER GREENER COMMUNITIES, Green Jobs Green New York O.	94,625
	Seakill, Inc.	ULSTER	Central Hudson Gas a.	Low Rise New Construction, Codes & New Construction	7,500
	Silver Lining Solar	ROCKLAND	Orange and Rockland..	<200KW PV, NY-Sun	56,503
	Solar Energy Systems, LLC	WESTCHESTER	Consolidated Edison	<200KW PV, NY Sun	70,415
	Solar Generation, Inc.	ULSTER	Central Hudson Gas a.	<200KW PV, NY Sun	27,080
	Solar Liberty Energy Systems, Inc	SULLIVAN	NYS Electric and Gas	<200KW PV, NY Sun	15,318
			Orange and Rockland..	<200KW PV, NY Sun	6,426
	Solar Maximum LLC	ORANGE	Central Hudson Gas a.	<200KW PV, NY Sun	5,184

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
Mid-Hudson	Solar Maximum LLC	WESTCHESTER	Consolidated Edison	<200KW PV, NY Sun	25,137		
	Solar Provider Group LLC	ORANGE	Orange and Rockland..	>200KW PV, NY Sun	1,348,883		
	SolarCity Corporation	DUTCHESS	Central Hudson Gas and Electric	<200KW PV, NY Sun	18,250		
				>200KW PV, NY Sun	239,005		
	ORANGE	NYS Electric and Gas	Orange and Rockland..	<200KW PV, NY Sun	10,770		
				<200KW PV, NY Sun	31,070		
	PUTNAM	NYS Electric and Gas		<200KW PV, NY Sun	5,458		
	ROCKLAND	Orange and Rockland..		<200KW PV, NY Sun	21,163		
	ULSTER	Central Hudson Gas a..		<200KW PV, NY Sun	17,385		
	WESTCHESTER	Consolidated Edison		<200KW PV, NY Sun	5,725		
				<200KW PV, NY-Sun	66,308		
				NYS Electric and Gas	<200KW PV, NY Sun	41,270	
	Soundview Apartments Associates, LP	WESTCHESTER	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,500		
	Sterling Molded Products	ORANGE	Orange and Rockland..	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	95,104		
	STR Systems NY, LLC	DUTCHESS	Central Hudson Gas a..	<200KW PV, NY-Sun	5,760		
	Sullivan County	SULLIVAN	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP14042 - Sullivan County Jai	57,881		
	Summit Research Labs Inc	ORANGE	Orange and Rockland..	Industrial Process Effic, Industrial Process Efficiency	129,143		
	Sun Source Technologies	ULSTER	Central Hudson Gas and Electric	<200KW PV, NY Sun	96,148		
				<200KW PV, NY-Sun	6,312		
	Sungevity, Inc.	ORANGE	Orange and Rockland..	<200KW PV, NY Sun	16,080		
	Sunlight General Capital LLC	WESTCHESTER	Consolidated Edison	<200KW PV, NY Sun	53,071		
	SunPower Capital, LLC	DUTCHESS	Central Hudson Gas a..	<200KW PV, NY Sun	27,457		
				NYS Electric and Gas	<200KW PV, NY Sun	6,323	
		ORANGE	Central Hudson Gas a..	Orange and Rockland..	<200KW PV, NY Sun	11,115	
					<200KW PV, NY Sun	67,807	
		PUTNAM	NYS Electric and Gas		<200KW PV, NY Sun	5,703	
		ROCKLAND	Orange and Rockland Utilities		<200KW PV, NY Sun	59,339	
					<200KW PV, NY-Sun	12,277	
		SULLIVAN	NYS Electric and Gas		<200KW PV, NY Sun	8,442	
		ULSTER	Central Hudson Gas a..		<200KW PV, NY Sun	35,632	
		WESTCHESTER	Consolidated Edison		<200KW PV, NY Sun	17,316	
					NYS Electric and Gas	<200KW PV, NY Sun	5,142
		Sunrise Solar Solutions, LLC	WESTCHESTER	Consolidated Edison	<200KW PV, NY Sun	56,619	
					<200KW PV, NY-Sun	718	
					>200KW PV, NY-Sun C&I	287,838	
	SunRun, Inc	ROCKLAND	Orange and Rockland..	<200KW PV, NY Sun	5,408		
				WESTCHESTER	Consolidated Edison	<200KW PV, NY Sun	6,009
	SunWood Systems LLC	SULLIVAN	Central Hudson Gas a..	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	5,358		
	Swiss Re Management (US) Corporation	WESTCHESTER	Consolidated Edison	>200KW PV, NY Sun	1,703,211		
	Syska Hennessy Group	DUTCHESS	Central Hudson Gas a..	Commercial New Construc, Syska - EMP	10,850		
				WESTCHESTER	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant Selection	29,000
	Taconic Renewable Energy Solutions Inc.	ULSTER	Central Hudson Gas a..	<200KW PV, NY Sun	6,254		
	Tern Construction & Development, LLC	DUTCHESS	Central Hudson Gas a..	Low Rise New Construction, New Construction	62,000		
				WESTCHESTER	NYS Electric and Gas	Low Rise New Construction, New Construction	58,400
	The Gap, Inc.	DUTCHESS	Central Hudson Gas a..	EXISTING FACILITIES, EFP2553-The Gap Inc. - The Gap	330,136		
	Thornton Tomasetti, Inc.	WESTCHESTER	Consolidated Edison	Commercial New Construc, Thornton Tomasetti-EMP	18,119		
				NEW CONSTRUCTION PROGRAM, Thornton Tomasetti-EMP	13,995		
INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency				223,093			
Tilcon NY, Inc.	ROCKLAND	Orange and Rockland Utilities	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	46,952			
TRC Energy Services	WESTCHESTER	Consolidated Edison	Industrial Process Effic, Technical Review and Program S	4,260			
Trinity Heating & Air, Inc.	ORANGE	Orange and Rockland..	<200KW PV, NY Sun	11,704			
Union Enterprises	ORANGE	Orange and Rockland..	Low Rise New Construction, Codes & New Construction	5,500			
Vivint Solar	DUTCHESS	Central Hudson Gas a..	<200KW PV, NY Sun	5,125			
			NYS Electric and Gas	<200KW PV, NY Sun	4,437		
	PUTNAM	NYS Electric and Gas		<200KW PV, NY-Sun	5,354		
	ROCKLAND	Orange and Rockland..		<200KW PV, NY Sun	16,298		
	ULSTER	Central Hudson Gas a..		<200KW PV, NY Sun	5,200		
	WESTCHESTER	Consolidated Edison		<200KW PV, NY Sun	10,522		
				<200KW PV, NY-Sun	5,039		
Watchtower Bible &	ORANGE	Orange and Rockland..	NEW CONSTRUCTION PROGRAM, NCP10424-Office/Pub Space-OFLT	292,349			
WB Heritage Pointe Associates, LLC	DUTCHESS	Central Hudson Gas a..	Multifam Performance Pgm, NYSERDA Administration	18,450			
Westchester Chamber Educational	WESTCHESTER	Consolidated Edison	CLEANER GREENER COMMUNITIES, CGC26702 - WGBBC	540,000			
Wildan Energy Solutions	DUTCHESS	Central Hudson Gas a..	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	6,642			
Xzerta Energy Group LLC	SULLIVAN	NYS Electric and Gas	>200KW PV, NY Sun	6,625,174			
You Save Green Incorporated	WESTCHESTER	Consolidated Edison	<200KW PV, NY Sun	13,104			
<b>Total</b>				<b>37,882,403</b>			
Mohawk Valley	Adam C. Boese	HERKIMER	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		
		ONEIDA	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		
	Alternative Power Solutions of NY, LLC	ONEIDA	National Grid	<200KW PV, NY Sun	6,360		
				<200KW PV, NY Sun	5,832		
	Apex Solar Power LLC	MONTGOMERY	National Grid	<200KW PV, NY Sun	6,050		
				<200KW PV, NY-Sun	1,354		
	Arcadis of New York, Inc.	CHENANGO	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		
		MONTGOMERY	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		
	Bergmann Associates	ONEIDA	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		
	Bloom Energy Corporation	MONTGOMERY	National Grid	FUEL CELLS, HD #1289-Amsterdam, NY	930,146		
				ONEIDA	National Grid	FUEL CELLS, HD #1254-Utica, NY	943,929
	Borrego Solar Systems, Inc.	FULTON	National Grid	>200KW PV, NY Sun	1,952,826		
	CDH Energy Corporation	CHENANGO	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		
				HERKIMER	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
				ONEIDA	Municipal Utilities	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	6,000
				National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	6,000	
	CHA Consulting Inc.	OTSEGO	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		
				Industrial Process Effic, Technical Review and Program S	1,000		
	Communications Specialists, Inc.	MONTGOMERY	National Grid	<200KW PV, NY-Sun	5,400		
	EME Consulting Engineering Group, LLC	HERKIMER	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		
	Energetics, Incorporated	ONEIDA	National Grid	CLEAN TRANSPORTATION, Strategies for reducing EVSE I	99,991		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Mohawk Valley	Energy & Resource Solutions, Inc.	MONTGOMERY	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		OTSEGO	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	Erdman Anthony & Associates, Inc.	HERKIMER	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	Extraterrestrial Materials Inc.	CHENANGO	NYS Electric and Gas	<200KW PV, NY Sun	5,544	
	Fourth Coast, Inc.	ONEIDA	Municipal Utilities	<200KW PV, NY Sun	19,928	
	Gloversville Housing Authority	FULTON	National Grid	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	38,000	
	Gloversville Public Library	FULTON	National Grid	NEW CONSTRUCTION PROGRAM, NCP12672 - Gloversville Public	13,813	
	Great Brook Solar NRG, LLC	HERKIMER	Municipal Utilities	<200KW PV, NY-Sun	27,059	
	High Peaks Solar	MONTGOMERY	National Grid	<200KW PV, NY Sun	6,496	
		ONEIDA	National Grid	>200KW PV, NY Sun	999,593	
	JCTOD Outreach, Inc.	ONEIDA	National Grid	Low Rise New Construction, Codes & New Construction	29,000	
	Kasselman Solar LLC	FULTON	National Grid	<200KW PV, NY Sun	7,424	
		HERKIMER	National Grid	<200KW PV, NY Sun	5,104	
		MONTGOMERY	National Grid	<200KW PV, NY Sun	5,104	
				<200KW PV, NY-Sun	10,950	
		SCHOHARIE	National Grid	<200KW PV, NY Sun	70,104	
	L&S Energy Services, Inc.	HERKIMER	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		MONTGOMERY	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	11,000	
		ONEIDA	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
		SCHOHARIE	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	LaBella Associates, P.C.	CHENANGO	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	Lewis Custom Homes, Inc.	ONEIDA	National Grid	>200KW PV, NY-Sun	1,010,952	
				Low Rise New Construction, New Construction	26,800	
	Liberty Affordable Housing, Inc.	FULTON	National Grid	Low Rise New Construction, Codes & New Construction	38,000	
	M/E Engineering, P.C.	ONEIDA	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		OTSEGO	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
	Meadows Senior Living L.P.	ONEIDA	National Grid	NEW YORK ENERGY STAR HOMES, New Construction	233,500	
	Monolith Solar Associates, LLC	FULTON	National Grid	<200KW PV, NY-Sun	62,600	
		MONTGOMERY	National Grid	<200KW PV, NY Sun	12,656	
	New York State Police	OTSEGO	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP12386 - NYS Police Unadilla	5,469	
	Northeast Agriculture Technology Corpora	HERKIMER	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		ONEIDA	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
	Oneida County	ONEIDA	National Grid	NEW CONSTRUCTION PROGRAM, NCP12945-Oneida County Office	6,455	
	Paradise Energy Solutions, LLC	FULTON	National Grid	<200KW PV, NY Sun	33,086	
		MONTGOMERY	National Grid	<200KW PV, NY Sun	15,624	
	Pathfinder Engineers & Architects, LLP	OTSEGO	NYS Electric and Gas	Commercial New Construc, Pathfinder - EMP	9,020	
	SolarCity Corporation	FULTON	National Grid	>200KW PV, NY Sun	919,860	
		ONEIDA	National Grid	<200KW PV, NY Sun	30,623	
	sun8 PDC LLC	CHENANGO	NYS Electric and Gas	>200KW PV, NY Sun	3,380,637	
	SunRun, Inc	SCHOHARIE	National Grid	<200KW PV, NY Sun	8,512	
	SUNY Cobleskill	SCHOHARIE	National Grid	NEW CONSTRUCTION PROGRAM, NCP13045 - Home Economics Bldg	5,360	
	SUNY Oneonta	OTSEGO	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP12788 - Welcome Center	7,444	
	Taitem Engineering, P.C.	CHENANGO	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	Trinity Heating & Air, Inc.	MONTGOMERY	National Grid	<200KW PV, NY Sun	11,960	
	United Wind Project I, LLC	MONTGOMERY	National Grid	SMALL WIND, Wind Turbine Incentive	38,142	
		ONEIDA	NYS Electric and Gas	SMALL WIND, Wind Turbine Incentive	40,193	
	Vincents Heating and Fuel Service, LLC	HERKIMER	National Grid	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	11,436	
				RENEWABLE HEAT NY, RHNH PON 3010 Incentive - Hart	15,000	
	Vivint Solar	SCHOHARIE	National Grid	<200KW PV, NY Sun	5,304	
	<b>Total</b>					11,205,140
	New York City	1st Light Energy, Inc.	BRONX	Consolidated Edison	<200KW PV, NY Sun	46,367
			KINGS	Consolidated Edison	<200KW PV, NY-Sun	44,324
			QUEENS	Consolidated Edison	<200KW PV, NY Sun	97,208
			RICHMOND	Consolidated Edison	<200KW PV, NY Sun	21,968
		10th Ave Petroleum LLC	NEW YORK	Consolidated Edison	FUEL NY, PGI0296 - 10th Avenue Petrole	57,893
		34th-10 Development, LLC	NEW YORK	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP11565 - 3410 Development LL	145,491
63 Madison Owners LLC		NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2463 - 63 Madison Owners	55,052	
69th Tenant Corp		NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP/DMP2263 - 69th St. Tenant	45,690	
111 East 48th Street Holdings		NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2267 - 111 East 48th St	13,706	
156 Perry Street, LLC		NEW YORK	Consolidated Edison	Multifam New Construction, MFNCP PHUIS T3-156 Perry St	42,500	
166 East 96th Street Owners Corp.		NEW YORK	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	3,500	
174-02 Horace Harding Expressway Operati		QUEENS	Consolidated Edison	FUEL NY, PGI00112 - 174-02 Horace Hardi	20,304	
175-33 Horace Harding Expressway Service		QUEENS	Consolidated Edison	FUEL NY, PGI00114 - 175-33 Horace Hardi	15,352	
183 Lorraine St, LLC		KINGS	Consolidated Edison	Flexible Tech Assistance, FlexTech Program - PON1746	17,500	
211 Sea Foam Properties LLC		NEW YORK	Consolidated Edison	Multifam New Construction, MFNCP PHI T3-211 Passive H	123,000	
330 Madison Avenue LLC		NEW YORK	Consolidated Edison	ADVANCED BUILDINGS, EFP2216 - 330 Madison Ave LLC	70,000	
355 Lexington LLC		NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2511- Rudin - 355 Lexing	63,379	
540 Hudson Street, LLC		NEW YORK	Consolidated Edison	Multifam New Construction, MFNCP PHUIS T3-540 Hudson	65,000	
845 Third LP		NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2512 - 845 Third L.P - 845	165,553	
4201 Webster Realty LLC		BRONX	Consolidated Edison	FUEL NY, PGI00066 - 4201 Webster Realty	77,528	
AC Woodhaven Realty Corp.		QUEENS	Consolidated Edison	FUEL NY, PGI00113 - AC Woodhaven Realty	16,731	
Accord Power, Inc.		BRONX	Consolidated Edison	<200KW PV, NY Sun	5,712	
		QUEENS	Consolidated Edison	<200KW PV, NY-Sun	6,150	
				>200KW PV, NY Sun	187,782	
Aegis Energy Services Inc.		KINGS	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - Patrick Gorman	385,000	
		NEW YORK	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - 220 Madison	135,000	
		QUEENS	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - DO & CO Catering	403,095	
				COMBINED HEAT AND POWER, CHPA - Park Lane	207,611	
AKF-engineers		NEW YORK	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultants Statewide	45,880	
Albreo Energy, LLC		NEW YORK	Consolidated Edison	Real Time Energy Management, 1700 LH - 1700 Broadway - RTEM	13,500	
Alliance Energy LLC		QUEENS	Consolidated Edison	FUEL NY, PGI00013 - Alliance Energy LLC	71,583	
				FUEL NY, PGI00035 - Alliance Energy LLC	69,971	
				FUEL NY, PGI00101 - Alliance Energy LLC	80,869	
				FUEL NY, PGI00103 - Alliance Energy LLC	95,123	
				FUEL NY, PGI00155 - Alliance Energy LLC	62,866	
				FUEL NY, PGI00157 - Alliance Energy LLC	66,041	

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New York City	Alliance for Housing Inc.	BRONX	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	16,200		
		KINGS	Consolidated Edison	Multifam New Construction, PPES T2 Fountain Sea A1	58,600		
				Multifam New Construction, PPES T2 Fountain Sea A2	100,000		
	Altanova LLC	NEW YORK	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant Selection	20,001		
		QUEENS	Consolidated Edison	Commercial New Construc, Altanova - Energy Modeling Par	17,000		
				Flexible Tech Assistance, FlexTech Consultant Selection	15,000		
	American Renewable Energy, Inc.	KINGS	Consolidated Edison	<200KW PV, NY Sun	6,773		
		QUEENS	Consolidated Edison	<200KW PV, NY Sun	5,040		
		RICHMOND	Consolidated Edison	<200KW PV, NY Sun	11,983		
	American Solar Partners, LLC	BRONX	Consolidated Edison	<200KW PV, NY Sun	21,000		
	Arthur Kill Fuels LLC	RICHMOND	Consolidated Edison	FUEL NY, PGI00267 - Arthur Kill Fuels	74,550		
	Astoria Fuel & Convenience Store Inc	QUEENS	Consolidated Edison	FUEL NY, PGI00238 - Astoria Fuel & Conv	74,000		
	Atelier Ten	KINGS	Consolidated Edison	Commercial New Construc, ATEN - EMP	26,118		
	Barry X Ball Studio Inc	KINGS	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP12163 - Banker St	6,508		
	Baychester Petroleum LLC	BRONX	Consolidated Edison	FUEL NY, PGI00067 - Baychester Petroleu	86,217		
	Best Energy Power	BRONX	Consolidated Edison	<200KW PV, NY Sun	20,398		
		KINGS	Consolidated Edison	<200KW PV, NY Sun	73,757		
	Bloomberg, L.P.	NEW YORK	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP14014 - 919 Third Avenue	69,435		
	Blue Raven Solar	RICHMOND	Consolidated Edison	<200KW PV, NY-Sun	5,100		
	Bolla EM Realty LLC	KINGS	Consolidated Edison	FUEL NY, PGI00093 - Bolla EM Realty LLC	59,368		
				FUEL NY, PGI00144 - Bolla EM Realty LLC	62,817		
		RICHMOND	Consolidated Edison	FUEL NY, PGI00036 - Bolla EM Realty LLC	68,681		
	Bolla Operating Corp.	KINGS	Consolidated Edison	FUEL NY, PGI00015 - Bolla Operating Cor	59,589		
				FUEL NY, PGI00037 - Bolla Operating Cor	74,207		
				FUEL NY, PGI00038 - Bolla Operating Cor	77,249		
				FUEL NY, PGI00039 - Bolla Operating Cor	56,967		
				FUEL NY, PGI00040 - Bolla Operating Cor	57,609		
				FUEL NY, PGI00095 - Bolla Operating Cor	69,275		
				FUEL NY, PGI00096 - Bolla Operating Cor	84,218		
				FUEL NY, PGI00141 - Bolla Operating Cor	70,519		
				RICHMOND	Consolidated Edison	FUEL NY, PGI00041 - Bolla Operating Cor	67,864
				NEW YORK	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP10559 - Tower 1	486,595
	Bright Power, Inc.	BRONX	Consolidated Edison	<200KW PV, NY Sun	68,787		
		KINGS	Consolidated Edison	<200KW PV, NY Sun	22,890		
		NEW YORK	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant Selection	15,950		
	Broadway 52nd LP	NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2513 - Broadway 52nd LP - 1	338,121		
	Bronx Park Phase II Preservation LLC	BRONX	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	87,850		
	Bronx Pro Group, LLC	BRONX	Consolidated Edison	Multifam New Construction, MFNCP PHI T3-3365 Third Ave	105,000		
	Brooklyn SolarWorks LLC	KINGS	Consolidated Edison	<200KW PV, NY Sun	16,800		
		NEW YORK	Consolidated Edison	<200KW PV, NY Sun	8,160		
	Calstart	KINGS	Consolidated Edison	CLEANER GREENER COMMUNITIES, CGC54612 - CALSTART	1,700,000		
	Calvary Manager LLC	KINGS	Consolidated Edison	Multifam New Construction, MFNCP PHIUS T3-1579 St John	300,000		
	CAMBA Housing Ventures, Inc.	KINGS	Consolidated Edison	Multifam New Construction, MFNCP PPES T2-210-214 Hege	62,200		
	Carrera RS, LLC	NEW YORK	Consolidated Edison	Multifam New Construction, MFNCP PHI T3-505 East 86th St	300,000		
	Certified Heating Oils, Inc.	RICHMOND	Consolidated Edison	FUEL NY, PGI00220 - Certified Heating	74,000		
				FUEL NY, PGI00225 - Certified Heating	97,250		
	CHA Consulting Inc.	NEW YORK	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant CHA	147,518		
				OTHER PROGRAM AREA, FlexTech Consultant CHA	30,247		
	Citi Realty Services	NEW YORK	Consolidated Edison	ADVANCED BUILDINGS, EFP/DMP2465 - Citigroup	314,713		
				EXISTING FACILITIES, EFP/DMP2465 - Citigroup	5,857,242		
				INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,322,476		
				EXISTING FACILITIES, EFP/DMP2465 - Citigroup	5,408		
	City Fuels LLC	NEW YORK	Consolidated Edison	FUEL NY, PGI00072 - City Fuels LLC	67,344		
	City Of New York	NEW YORK	Consolidated Edison	NEW CONSTRUCTION PROGRAM, CGC43226 - New York City	400,000		
	Clearcell Power, Inc.	NEW YORK	Consolidated Edison	FUEL CELLS, RPS CST Fuel Cell Program	1,000,000		
	Cogeneration Contractors, Inc.	KINGS	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - 626 Flatbush	128,700		
				COMBINED HEAT AND POWER, CHPA - Kings County Hospital C	1,500,000		
		NEW YORK	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - POD Hotel	232,050		
				COMBINED HEAT AND POWER, CHPA - San Remo	375,911		
	QUEENS	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - 66-36 Yellowstone	255,255			
	Columbia University	NEW YORK	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP11569 - ColumbiaBowtieBldg	78,770		
	Credit Suisse USA	NEW YORK	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP12339 - Eleven Madison Aven	2,788		
	Cross Bronx Services Station Corp	BRONX	Consolidated Edison	FUEL NY, PGI00065 - Cross Bronx Service	80,907		
	CUCS Housing Development Fund Corporatio	NEW YORK	Consolidated Edison	Multifam New Construction, MFNCP PHI T3-CUCS W 127 St	300,000		
	Cusie 31 LLC	NEW YORK	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP12209 - 11 East 31st Street	12,151		
	Cutone & Company Consultants, LLC	NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2460 - Cutone - 345 Hudson	882,270		
				EXISTING FACILITIES, EFP/DMP2499 - Cutone; Fordham	810,012		
	Cypress Hills Local Development Corporat	KINGS	Consolidated Edison	GREEN AFFORDABLE HOUSING, Multifamily	43,299		
				MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	71,122		
				Multifam New Construction, New Construction	100,000		
	Ebenezer Plaza Owner LLC	KINGS	Consolidated Edison	CLEANER GREENER COMMUNITIES, Green Jobs Green New York O..	89,388		
	El Puente	KINGS	Consolidated Edison	Commercial New Construc, EME - EMP	10,000		
	EME Consulting Engineering Group, LLC	NEW YORK	Consolidated Edison	Commercial Real Estate Ten, FlexTech Consultant Selection	333,333		
				EXISTING FACILITIES, Technical Review and Program S	12,050		
				MARKET PATHWAYS, FlexTech Consultant Selection	200,000		
				NEW CONSTRUCTION PROGRAM, Technical Review and Program S	43,700		
				NEW CONSTRUCTION PROGRAM, Technical Review and Program S	6,000		
				<200KW PV, NY Sun	5,003		
	Empower CES, LLC	QUEENS	Consolidated Edison	<200KW PV, NY Sun	8,460		
				<200KW PV, NY-Sun	5,298		
				<200KW PV, NY Sun	5,232		
	Energy & Resource Solutions, Inc.	BRONX	Consolidated Edison	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	13,560		
				NEW CONSTRUCTION PROGRAM, Technical Review and Program S	8,384		
		NEW YORK	Consolidated Edison	EXISTING FACILITIES, Technical Review and Program S	119,421		
				NEW CONSTRUCTION PROGRAM, Technical Review and Program S	24,354		
	Energy Reduction Assets LLC	BRONX	Consolidated Edison	EXISTING FACILITIES, EFP2351 - Energy Reduction Ass	11,441		
	Energy Reduction Concepts, LLC	BRONX	Consolidated Edison	EXISTING FACILITIES, EFP2351 - Energy Reduction Ass	11,441		

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Enerxiv Inc.	NEW YORK	Consolidated Edison	Real Time Enrgy Management, Eric Mausukopf--255E.74th-RTEM	11,305
				Real Time Enrgy Management, Greg Maser--260 Spring--RTEM	9,030
	Enerwise Global Technologies	NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2391 - Enerwise - Multistite	30,614
				>200KW PV, NY Sun	170,924
	EnterSolar LLC	KINGS	Consolidated Edison	>200KW PV, NY Sun	1,182,528
				NEW CONSTRUCTION PROGRAM, NCP10565 - Retail Hudson Yards	223,912
	Ery Tenant LLC	NEW YORK	Consolidated Edison	Flexible Tech Assistance, FlexTech Program - PON1746	8,900
				CLEAN TRANSPORTATION, AC+DC charging with battery	15,050
	Esplanade Gardens, Inc.	NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2389 - FBD Realty LLC - mul	13,815
				EXISTING FACILITIES, EFP2389 - FBD Realty LLC - mul	46,288
	EV-Box N.A. Inc.	KINGS	Consolidated Edison	NYSERDA ADMINISTRATION, Admin-NYC (Accounting Use)	129,700
				<200KW PV, NY Sun	12,960
	FBD Realty	KINGS	Consolidated Edison	EXISTING FACILITIES, EFP/DMP2132 - Fordham Univ.	1,120,256
				QUEENS	Consolidated Edison
	First Quality Maintenance II, LLC	NEW YORK	Consolidated Edison	FUEL NY, PGI00222 - Gaseteria Oil Corp.	34,521
				FUEL NY, PGI00223 - Gaseteria Oil Corp.	34,281
	Florenton River LLC	BRONX	Consolidated Edison	FUEL NY, PGI00227 - Gaseteria Oil Corp.	36,565
				RICHMOND	Consolidated Edison
	Fordham University	BRONX	Consolidated Edison	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	32,500
				FUEL NY, PGI00193 - Global Montello Gro	66,658
	Friends Seminary	NEW YORK	Consolidated Edison	>200KW PV, NY-Sun	357,079
				QUEENS	Consolidated Edison
	Gaseteria Oil Corp.	QUEENS	Consolidated Edison	NY-SUN, NY-Sun	566,371
				RICHMOND	Consolidated Edison
	Geatrain Engineering PLLC	NEW YORK	Consolidated Edison	<200KW PV, NY Sun	14,878
				BRONX	Consolidated Edison
	Global Montello Group Corp.	BRONX	Consolidated Edison	Commercial Real Estate Ten, JLL - 140 Broadway Generic CRE	7,494
				Commercial Real Estate Ten, VNO 330 West 34th St - CRE Ten	8,985
	Global Resource Funding Partners LLC	BRONX	Consolidated Edison	<200KW PV, NY Sun	50,071
				QUEENS	Consolidated Edison
	Go Solar/Green NY, LLC	QUEENS	Consolidated Edison	EXISTING FACILITIES, EFP2143 - Greenlight Energy Co	54,141
				Commercial Real Estate Ten, NY Sun	8,873
	Goldman Copeland Associates, P.C.	NEW YORK	Consolidated Edison	<200KW PV, NY Sun	5,683
				QUEENS	Consolidated Edison
	Green Hybrid Energy Solutions Inc.	QUEENS	Consolidated Edison	<200KW PV, NY Sun	572,203
				QUEENS	Consolidated Edison
	Green Light Energy Conservation	NEW YORK	Consolidated Edison	<200KW PV, NY Sun	5,494
				QUEENS	Consolidated Edison
	Green Power Solutions, Inc.	QUEENS	Consolidated Edison	Low Rise New Construction, New Construction	26,000
				BRONX	Consolidated Edison
	Green Street Power Partners LLC	BRONX	Consolidated Edison	<200KW PV, NY Sun	36,881
				QUEENS	Consolidated Edison
	GRID Alternatives Tri-State, Inc.	NEW YORK	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	83,031
				BRONX	Consolidated Edison
	H.E.L.P Development Corp.	BRONX	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	37,125
				EXISTING FACILITIES, Technical Review and Program S	2,926
	Habitat for Humanity - New York City	KINGS	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - 4C Foods	726,000
				BRONX	Consolidated Edison
	Harvest Power, LLC	QUEENS	Consolidated Edison	<200KW PV, NY Sun	10,472
				BRONX	Consolidated Edison
	Holland & Knight LLP	NEW YORK	Consolidated Edison	EXISTING FACILITIES, Technical Review and Program S	10,994
				NEW CONSTRUCTION PROGRAM, Technical Review and Program S	19,499
	Home for Harlem Dowling Inc	NEW YORK	Consolidated Edison	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	47,651
				BRONX	Consolidated Edison
	Homes for New Yorkers, Inc	BRONX	Consolidated Edison	<200KW PV, NY Sun	7,308
				QUEENS	Consolidated Edison
	Hunts Point Apartments LP	BRONX	Consolidated Edison	<200KW PV, NY-Sun	6,840
				NEW CONSTRUCTION PROGRAM, NCP12913 - Manhattan Country S	9,850
	ICF Resources, LLC	NEW YORK	Consolidated Edison	FUEL NY, PGI00070 - Maurice Petroleum L	74,966
				EXISTING FACILITIES, Technical Review and Program S	100,000
	IntelliGen Power Systems, LLC	KINGS	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	74,000
				BRONX	Consolidated Edison
	Kilowatt Engineering, Inc.	KINGS	Consolidated Edison	FUEL NY, PGI00068 - Mosholu Petro Real	72,135
				BRONX	Consolidated Edison
	Kilowatt Financial, LLC	RICHMOND	Consolidated Edison	CLEAN TRANSPORTATION, Ambulance Anti-Idling Stations	384,980
				BRONX	Consolidated Edison
	L&S Energy Services, Inc.	BRONX	Consolidated Edison	FUEL NY, PGI00290 - Mukti E 163rd Petro	115,000
				KINGS	Consolidated Edison
	Leeward Living, LLC	QUEENS	PSEG Long Island	GJGNV REVOLVING LOAN FUND, Green Jobs Green New York Outr	476
				NEW YORK	Consolidated Edison
	Level Solar Inc.	KINGS	Consolidated Edison	EXISTING FACILITIES, EFP2196 - New York Presbyteria	231,677
				QUEENS	Consolidated Edison
	Manhattan Country School	NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP1763 - NYU College of Denti	55,000
				EXISTING FACILITIES, EFP/DMP2299 - NYU	1,344,164
	Maurice Petroleum LLC	QUEENS	Consolidated Edison	EXISTING FACILITIES, Technical Review and Program S	33,748
				NEW CONSTRUCTION PROGRAM, NCP12792 - 2361 Norstrand Aven	28,178
	Mill Rock Owners Corp	NEW YORK	Consolidated Edison	NEW CONSTRUCTION PROGRAM, Energy Modeling Partner	10,375
				BRONX	Consolidated Edison
	MLK Plaza LLC	BRONX	Consolidated Edison	Flexible Tech Assistance, FT11529 - Orsid Realty - Norma	25,000
				BRONX	Consolidated Edison
	Mosholu Petro Realty LLC	BRONX	Consolidated Edison	<200KW PV, NY Sun	13,029
				QUEENS	Consolidated Edison
	MOVE Systems International, LLC	KINGS	Consolidated Edison	<200KW PV, NY Sun	16,853
				QUEENS	Consolidated Edison
	Mukti 148 Petroleum Inc	QUEENS	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	194,550
				BRONX	Consolidated Edison
	Mukti E 163rd Petroleum Inc	BRONX	Consolidated Edison		
				QUEENS	Consolidated Edison
	Neighborhood Housing Services of Jamaica	QUEENS	Consolidated Edison		
				RICHMOND	Consolidated Edison
	Neighborhood Housing Services Staten Isl	RICHMOND	Consolidated Edison		
				NEW YORK	Consolidated Edison
	New York Presbyterian Hospital	NEW YORK	Consolidated Edison		
				NEW YORK	Consolidated Edison
New York University	NEW YORK	Consolidated Edison			
			NEW YORK	Consolidated Edison	
Nexant, Incorporated	NEW YORK	Consolidated Edison			
			RICHMOND	Consolidated Edison	
NJP Consulting Inc.	RICHMOND	Consolidated Edison			
			QUEENS	Consolidated Edison	
Nor Spring Service Station Inc.	QUEENS	Consolidated Edison			
			QUEENS	Consolidated Edison	
Nor-Cross Service Station Inc	QUEENS	Consolidated Edison			
			NEW YORK	Consolidated Edison	
Normandy Owners Corporation	NEW YORK	Consolidated Edison			
			KINGS	Consolidated Edison	
Norstrand Place LLC	KINGS	Consolidated Edison			
			NEW YORK	Consolidated Edison	
Novus Engineering, P.C.	NEW YORK	Consolidated Edison			
			BRONX	Consolidated Edison	
OLA Consulting Engineers, P.C.	BRONX	Consolidated Edison			
			NEW YORK	Consolidated Edison	
Olympic Tower Condominium	NEW YORK	Consolidated Edison			
			BRONX	Consolidated Edison	
OnForce Solar	BRONX	Consolidated Edison			
			QUEENS	Consolidated Edison	
ORE F4 ProjectCo, LLC	RICHMOND	Consolidated Edison			
			KINGS	Consolidated Edison	
Packer Collegiate Institute	KINGS	Consolidated Edison			
			KINGS	Consolidated Edison	
Park Monroe II Rehab HDFC	KINGS	Consolidated Edison			

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New York City	PMG Northeast LLC	BRONX	Consolidated Edison	FUEL NY, PGI00017 - PMG Northeast LLC	59,516
				FUEL NY, PGI00128 - PMG Northeast LLC	64,195
				FUEL NY, PGI00129 - PMG Northeast LLC	75,208
		KINGS		FUEL NY, PGI00055 - PMG Northeast LLC	75,416
				FUEL NY, PGI00056 - PMG Northeast LLC	67,534
				FUEL NY, PGI00136 - PMG Northeast LLC	65,102
		QUEENS		FUEL NY, PGI00167 - PMG Northeast LLC	57,029
				FUEL NY, PGI00050 - PMG Northeast LLC	69,918
				FUEL NY, PGI00057 - PMG Northeast LLC	84,278
	Queens Center REIT, LLC	QUEENS	Consolidated Edison	FUEL CELLS, RPS FC - Macerich Mall meter #	2,520,000
	Quixotic Systems, Inc.	KINGS	Consolidated Edison	<200KW PV, NY Sun	32,504
	R3 Energy Management Audit & Review, LLC	NEW YORK	Consolidated Edison	Real Time Enrgy Management, P Clabby-110 East 59th St-RTEM	19,710
	Randstad North America, L.P.	NEW YORK	Consolidated Edison	NEW YORK GREEN BANK, Temp Services	232,989
				NEW YORK GREEN BANK, Temporary Services	57,213
				NY-SUN, Temporary Services	49,803
				NYSEDA ADMINISTRATION, Temp Services	55,263
	Research Foundation of The City	NEW YORK	Consolidated Edison	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Birnesite for..	50,000
	Richmond University Medical Center	RICHMOND	Consolidated Edison	COMBINED HEAT AND POWER, CHP Perform Incentive-PON 2701	2,600,000
	Ridgewood Bushwick Sr. Citizens Council,	KINGS	Consolidated Edison	Multifam New Construction, PHIUS T3 Atlantic	225,500
	Rimple Inc	KINGS	Consolidated Edison	FUEL NY, PGI00217 - Rimple Inc.	70,000
Rockefeller University	NEW YORK	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP12664 - River Campus	329,533	
Rohan Development LLC	NEW YORK	Consolidated Edison	Multifam New Construction, MFNC-577 West 161st	54,000	
Royal Petroleum Management Inc	BRONX	Consolidated Edison	FUEL NY, PGI00194 - Royal Petroleum Man	66,088	
Rudin Management Co. Inc.	NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2334 - Rudin Mgmt - 2 loca	65,516	
			MARKET PATHWAYS, CRETP - Rudin Management - 345	140,000	
RXR Realty LLC	NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2479 - RXR Realty - Multi	13,967	
RXR SL Owner LLC	NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2007 - RXR Realty - Starre	100,757	
Safari Energy LLC	BRONX	Consolidated Edison	<200KW PV, NY Sun	62,072	
	KINGS	Consolidated Edison	NY-SUN, New York Sun Competitive PV	45,964	
SAP	NEW YORK	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP12768-SAP Office	98,270	
Sea Bright Solar, LLC	RICHMOND	Consolidated Edison	<200KW PV, NY Sun	10,628	
Silver Lining Solar	BRONX	Consolidated Edison	<200KW PV, NY Sun	62,072	
Skadden, Arps, Slate, Meagher & Flom LL	NEW YORK	Consolidated Edison	Green Bank Outside Legal Couns	34,340	
SL Green Realty Corp.	NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2285 - SL Green Realty Corp	9,895	
SLGreen	NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2290 - 555 W 57 St Tenants	63,200	
			EXISTING FACILITIES, EFP2291 - Reckson Associates -	16,234	
Solar One, Inc.	QUEENS	Consolidated Edison	<200KW PV, NY Sun	8,190	
			<200KW PV, NY-Sun	11,400	
South Street Seaport Limited Partnership	NEW YORK	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP13189 - Pier 17	40,459	
SRM Fuel Corp	NEW YORK	Consolidated Edison	FUEL NY, PGI00071 - SRM Fuel Corp.	89,365	
St. John's University	QUEENS	Consolidated Edison	REV CAMPUS CHALLENGE, REV CC - Roadmaps	153,360	
Stantec Consulting Services, Inc.	NEW YORK	Consolidated Edison	Commercial New Construc, Stantec-Energy Modeling Partne	15,176	
Star 260 Realty LLC	KINGS	Consolidated Edison	FUEL NY, PGI00229 - Star 260 Realty LLC	70,000	
			FUEL NY, PGI00232 - Star 260 Realty LLC	70,000	
Steven Winter Associates, Inc.	BRONX	Consolidated Edison	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	18,725	
			Commercial New Construc, SWA - EMP	17,086	
			NEW CONSTRUCTION PROGRAM, Technical Review and Program S	19,096	
Sun Rock Development, LLC	KINGS	Consolidated Edison	NEW YORK ENERGY STAR HOMES, New Construction	19,000	
SunPower Capital, LLC	BRONX	Consolidated Edison	<200KW PV, NY Sun	10,333	
			<200KW PV, NY Sun	62,666	
	QUEENS	Consolidated Edison	<200KW PV, NY-Sun	5,539	
			<200KW PV, NY Sun	86,241	
	RICHMOND	Consolidated Edison	<200KW PV, NY-Sun	4,121	
			<200KW PV, NY Sun	175,148	
SunRun, Inc	KINGS	Consolidated Edison	<200KW PV, NY-Sun	6,760	
			<200KW PV, NY Sun	8,370	
	QUEENS	Consolidated Edison	<200KW PV, NY Sun	6,975	
			<200KW PV, NY Sun	92,108	
Tecogen	KINGS	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - 260 Herkimer	69,300	
			COMBINED HEAT AND POWER, CHPA - Atrium Center	216,000	
			COMBINED HEAT AND POWER, CHPA - Interfaith Medical Cent	612,000	
			COMBINED HEAT AND POWER, CHPA - Spring Creek	216,000	
			COMBINED HEAT AND POWER, CHPA - Surf 21	561,000	
	NEW YORK	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - 261 Hudson	180,000	
			COMBINED HEAT AND POWER, CHPA - 520 West 30th Street	198,000	
			COMBINED HEAT AND POWER, CHPA - Aron Hall	180,000	
			COMBINED HEAT AND POWER, CHPA - Glenn Gardens	385,000	
			COMBINED HEAT AND POWER, CHPA - Fairview	561,000	
	QUEENS	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - Silver Towers	198,000	
TF Cornerstone QW 4 GC, LLC	NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2403 - TF Cornerstone Inc -	98,898	
	QUEENS	Consolidated Edison	EXISTING FACILITIES, EFP2403 - TF Cornerstone Inc -	87,303	
The Center for Urban Community Services,	BRONX	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	120,600	
The Jericho Project	BRONX	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	90,000	
The New York Times Company	QUEENS	Consolidated Edison	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	17,174	
Trane	KINGS	Consolidated Edison	Real Time Enrgy Management, 310 Prospect Park West - RTEM	26,036	
	NEW YORK	Consolidated Edison	Real Time Enrgy Management, CtrSynagogue-652Lexington-RTEM	65,214	
TRC Energy Services	KINGS	Consolidated Edison	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	4,667	
			EXISTING FACILITIES, Technical Review and Program S	8,561	
	QUEENS	Consolidated Edison	Industrial Process Effic, Technical Review and Program S	3,165	
			EXISTING FACILITIES, Technical Review and Program S	1,800	
Tree of Life 164, LLC	QUEENS	Consolidated Edison	Multifam New Construction, MFNCP PHIUS T3-Tree of Life	300,000	
Trinity NY Development LLC	BRONX	Consolidated Edison	Multifam New Construction, MFNCP PHIUS T3-425 Grand C	300,000	
U.S. Green Building Council, NY Chapter	NEW YORK	Consolidated Edison	NextGen HVAC, Buildings Product Research	50,000	
UGE USA Inc.	KINGS	Consolidated Edison	>200KW PV, NY Sun	200,090	
Utilities Program & Metering, Inc.	NEW YORK	Consolidated Edison	Real Time Enrgy Management, Josie Robinson Surgery - RTEM	51,602	
			Real Time Enrgy Management, NYU Medical Center - MS - RTEM	73,260	
			Real Time Enrgy Management, Tom Damsell - 1 Liberty - RTEM	33,581	

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New York City	Valley Gas Inc.	RICHMOND	Consolidated Edison	FUEL NY, PGI00270 - Valley Gas Inc.	84,000		
	Vandale Motors Inc.	BRONX	Consolidated Edison	FUEL NY, PGI00003 - Vandale Motors Inc.	35,050		
	Venture Home Solar LLC	QUEENS	Consolidated Edison	<200KW PV, NY Sun	12,263		
	Verizon Corporate Services Group	KINGS	Consolidated Edison	EXISTING FACILITIES, EFP2122-Verizon - Verizon BMS	38,293		
		NEW YORK	Consolidated Edison	EXISTING FACILITIES, EFP2122-Verizon - Verizon BMS	8,527		
	Vidaris, Inc.	RICHMOND	Consolidated Edison	EXISTING FACILITIES, EFP2122-Verizon - Verizon BMS	7,392		
		KINGS	Consolidated Edison	Commercial New Construc, Vidaris - EMP	33,500		
		NEW YORK	Consolidated Edison	Commercial New Construc, Vidaris - EMP	58,300		
	Vornado Office Management LP	QUEENS	Consolidated Edison	NEW CONSTRUCTION PROGRAM, Vidaris - EMP	45,150		
		NEW YORK	Consolidated Edison	ADVANCED BUILDINGS, EFP/DMP2276 - Vornado	200,000		
	Warex Terminals Corporation	QUEENS	Consolidated Edison	EXISTING FACILITIES, EFP/DMP2276 - Vornado	1,265,831		
		QUEENS	Consolidated Edison	FUEL NY, PGI00064 - Warex Terminals Cor	96,847		
	Washington Gas Energy Systems Inc.	KINGS	Consolidated Edison	FUEL CELLS, CST FC Marcus Garvey	600,000		
	West Side Federation for Senior & Suppor	NEW YORK	Consolidated Edison	Multifam New Construction, MFNCP PHI T3-W 108th St Dev	100,000		
	Whole Foods Market Group, Inc.	KINGS	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP13110 - Whole Foods Market	74,088		
	Wildan Energy Solutions	NEW YORK	Consolidated Edison	EXISTING FACILITIES, Technical Review and Program S	2,498		
				Flexible Tech Assistance, FlexTech Consultant Selection	82,050		
	WSP USA Corp.	NEW YORK	Consolidated Edison	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	4,821		
				Flexible Tech Assistance, FlexTech Consultant Selection	6,500		
	Zero Carbon Corporation	KINGS	Consolidated Edison	<200KW PV, NY Sun	61,310		
	<b>Total</b>				<b>51,243,416</b>		
	North Country	Adirondack North Country Association	FRANKLIN	National Grid	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	21,797	
		Akwasne Housing Authority	FRANKLIN	National Grid	Low Rise New Construction, New Construction	64,000	
		Alternative Power Solutions of NY, LLC	JEFFERSON	National Grid	<200KW PV, NY Sun	9,472	
		Antares Group, Inc.	LEWIS	National Grid	Industrial Process Effic, Technical Review and Program S	6,301	
		Apex Solar Power LLC	CLINTON	NYS Electric and Gas	<200KW PV, NY Sun	5,400	
					<200KW PV, NY-Sun	5,408	
ESSEX			National Grid	<200KW PV, NY Sun	6,600		
				NYS Electric and Gas	18,084		
FRANKLIN			NYS Electric and Gas	<200KW PV, NY Sun	5,184		
HAMILTON			National Grid	<200KW PV, NY Sun	6,480		
JEFFERSON			National Grid	<200KW PV, NY Sun	5,616		
SAINT LAWRENCE		National Grid	<200KW PV, NY Sun	7,776			
Arcadis of New York, Inc.		SAINT LAWRENCE	National Grid	<200KW PV, NY-Sun	6,936		
				Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500		
Bergmann Associates		SAINT LAWRENCE	National Grid	Industrial Process Effic, Technical Review and Program S	7,210		
CDH Energy Corporation		LEWIS	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		
CHA Consulting Inc.		SAINT LAWRENCE	National Grid	Industrial Process Effic, Technical Review and Program S	7,800		
CJ Solar 1, LLC		SAINT LAWRENCE	National Grid	NY-SUN, C&I PV Project City of Utica	654,357		
Cogan Group Inc		CLINTON	NYS Electric and Gas	<200KW PV, NY Sun	7,168		
				ESSEX	National Grid	<200KW PV, NY Sun	17,464
Cold Black River L.P.		JEFFERSON	National Grid	Multifam Performance Pgm, Multifamily	25,875		
Cornerstone Energy Services		FRANKLIN	National Grid	RENEWABLE HEAT NY, RHHY Award Letter/PO-Meissner	15,000		
Corning Inc.		SAINT LAWRENCE	National Grid	Industrial Process Effic, Industrial Process Efficiency	68,871		
Downstream Construction, LLC		JEFFERSON	National Grid	<200KW PV, NY Sun	5,796		
Dunn Paper		SAINT LAWRENCE	National Grid	Industrial Process Effic, Industrial Process Efficiency	438,182		
Erdman Anthony & Associates, Inc.		FRANKLIN	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,500		
				JEFFERSON	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	6,000
Fort Drum Mountain Community Homes		JEFFERSON	National Grid	HOME PERFORMANCE WITH ENERGY STAR, Fort Drum Low-Rise P..	23,425		
				JEFFERSON	National Grid	<200KW PV, NY Sun	18,232
Fourth Coast, Inc.		LEWIS	National Grid	<200KW PV, NY-Sun	424		
				<200KW PV, NY Sun	25,864		
				<200KW PV, NY Sun	9,856		
				<200KW PV, NY-Sun	32		
Frederick A Proven		JEFFERSON	National Grid	<200KW PV, NY-Sun	6,320		
Freedom Mechanical, LLC		ESSEX	National Grid	RENEWABLE HEAT NY, Renewable Heating & Cooling	16,423		
				RENEWABLE HEAT NY, RHHY PON 3010 Incentive - Nort	16,000		
High Peaks Solar		JEFFERSON	National Grid	<200KW PV, NY Sun	6,496		
Hudson Headwaters Health Network		CLINTON	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP13010 - North Country Famil	20,263		
Hudson Solar		ESSEX	National Grid	<200KW PV, NY-Sun	65,000		
L&S Energy Services, Inc.		ESSEX	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500		
				JEFFERSON	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
				LEWIS	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
Max Solar Inc		SAINT LAWRENCE	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	15,000		
				JEFFERSON	National Grid	<200KW PV, NY Sun	7,480
Norstar Solar LLC		LEWIS	National Grid	>200KW PV, NY Sun	927,395		
North Harbor Energy, LLC		JEFFERSON	National Grid	ANAEROBIC DIGESTER, North Harbor Dairy Digester	2,000,000		
Norwood-Norfolk Central School District		SAINT LAWRENCE	National Grid	NEW CONSTRUCTION PROGRAM, NCP12920 - Norwood Norfolk CSD	50,666		
NYS Dept of Corrections &		FRANKLIN	National Grid	NEW CONSTRUCTION PROGRAM, NCP13104 - Upstate Training Bu	8,371		
Omniafiltra		LEWIS	National Grid	Industrial Process Effic, Industrial Process Efficiency	46,954		
Scott Shipley		SAINT LAWRENCE	National Grid	<200KW PV, NY-Sun	5,184		
Taitem Engineering, P.C.		FRANKLIN	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000		
				JEFFERSON	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
				SAINT LAWRENCE	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
Town of Elizabethtown		ESSEX	NYS Electric and Gas	COMMUNITY SOLAR, Solarize 2017	5,000		
Triangle Electrical Systems, Inc.		CLINTON	NYS Electric and Gas	<200KW PV, NY Sun	8,352		
United Renewable Energy		SAINT LAWRENCE	National Grid	<200KW PV, NY Sun	65,000		
Washington Gas Energy Systems Inc.		SAINT LAWRENCE	National Grid	NY-SUN, NY-Sun	473,605		
Xzerta Energy Group LLC		CLINTON	NYS Electric and Gas	>200KW PV, NY Sun	6,469,996		
<b>Total</b>					<b>11,752,615</b>		
Southern Tier		Able Electrical Services, LLC	SCHUYLER	NYS Electric and Gas	<200KW PV, NY-Sun	6,936	
		Adam C. Boese	DELAWARE	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,500	
					NYS Electric and Gas	5,000	
		Alternative Power Solutions of NY, LLC	TIOGA	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,888	
					<200KW PV, NY Sun	5,888	
		Apex Solar Power LLC	SCHUYLER	NYS Electric and Gas	<200KW PV, NY Sun	6,600	
		Arcadis of New York, Inc.	DELAWARE	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Bergmann Associates		STEUBEN	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,500		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Southern Tier	Bergmann Associates	TOMPKINS	NYS Electric and Gas	RENEWABLE HEAT NY, Technical Review and Program S	6,260
	Borg Warner-Morse TEC	TOMPKINS	NYS Electric and Gas	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	425,041
	Brahma Hunt LLC	BROOME	NYS Electric and Gas	>200KW PV, NY Sun	742,371
	Cayuga Medical Center at Ithaca	TOMPKINS	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP11115 - CMCOB10 (Cayuga ..	42,959
	CDH Energy Corporation	TIOGA	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	CHA Consulting Inc.	STEUBEN	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant CHA	12,500
				Industrial Process Effic, Technical Review and Program S	30,000
				INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	5,000
	Cornell University-Office of Sponsored P	TOMPKINS	NYS Electric and Gas	ENVIRONMENTAL RESEARCH, Building Downwash Effect	189,863
	Cypress Creek Renewables LLC	TIOGA	NYS Electric and Gas	>200KW PV, NY-Sun	1,109,185
	Dynamic Energy Solutions, LLC	TOMPKINS	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,051,656
	EMCOR Services Betlem	TOMPKINS	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant Selection	4,500
	Energy & Resource Solutions, Inc.	DELAWARE	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	Extraterrestrial Materials Inc.	BROOME	NYS Electric and Gas	<200KW PV, NY Sun	5,568
	Fingerlakes Renewables	TOMPKINS	NYS Electric and Gas	<200KW PV, NY Sun	5,376
	First Ward Action Council, Inc.	BROOME	NYS Electric and Gas	Low Rise New Construction, New Construction	21,000
				NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	93,500
	Freedom Solar Inc.	STEUBEN	NYS Electric and Gas	<200KW PV, NY Sun	6,760
	G.W. Ehrhart, Inc.	TOMPKINS	NYS Electric and Gas	RENEWABLE HEAT NY, RHNYPON 3010 Incentive - Barb	225
				RENEWABLE HEAT NY, RHNYPON 3010 Incentive - Cayu	41,000
	George E Denmark II	BROOME	NYS Electric and Gas	<200KW PV, NY Sun	7,182
				<200KW PV, NY-Sun	5,472
		STEUBEN	NYS Electric and Gas	<200KW PV, NY Sun	5,568
	GRE Fund II Holdco LLC	CHEMUNG	NYS Electric and Gas	>200KW PV, NY-Sun	219,655
	Halcyon, Inc.	STEUBEN	NYS Electric and Gas	<200KW PV, NY Sun	8,970
	HOLT Architects PC	TOMPKINS	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP14017 - HOLT Building	10,261
	Housing Visions Consultants, Inc.	CHEMUNG	NYS Electric and Gas	Low Rise New Construction, New Construction	24,000
	Ithaca Neighborhood Housing Services, In	TOMPKINS	NYS Electric and Gas	Low Rise New Construction, Low/Moderate Income	48,000
	LaBella Associates, P.C.	TIOGA	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		TOMPKINS	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Lockheed Martin NE & SS	TIOGA	NYS Electric and Gas	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	213,961
	M/E Engineering, P.C.	BROOME	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, M/E - EMP	12,800
	Monolith Solar Associates, LLC	CHEMUNG	NYS Electric and Gas	<200KW PV, NY Sun	5,040
	NYS Office of Parks, Recreation and	TOMPKINS	NYS Electric and Gas	<200KW PV, NY Sun	37,562
	OneEnergy Development LLC	STEUBEN	NYS Electric and Gas	>200KW PV, NY Sun	975,416
	Renovus Energy, Inc.	CHEMUNG	NYS Electric and Gas	<200KW PV, NY-Sun	648
		SCHUYLER	NYS Electric and Gas	>200KW PV, NY Sun	213,391
		STEUBEN	NYS Electric and Gas	<200KW PV, NY Sun	7,424
				<200KW PV, NY-Sun	12,544
		TIOGA	NYS Electric and Gas	<200KW PV, NY Sun	9,216
		TOMPKINS	NYS Electric and Gas	<200KW PV, NY Sun	105,999
				<200KW PV, NY-Sun	5,472
				>200KW PV, NY Sun	184,495
	Solar Liberty Energy Systems, Inc	STEUBEN	NYS Electric and Gas	<200KW PV, NY Sun	6,076
	SolarCity Corporation	BROOME	NYS Electric and Gas	>200KW PV, NY Sun	1,737,513
		DELAWARE	NYS Electric and Gas	>200KW PV, NY Sun	1,752,349
	Spencer Van Etten Central School Distric	CHEMUNG	NYS Electric and Gas	EXISTING FACILITIES, EFP2477 - Spencer Van Etten	15,357
		TIOGA	NYS Electric and Gas	EXISTING FACILITIES, EFP2477 - Spencer Van Etten	60,765
	Stantec Consulting Services, Inc.	BROOME	NYS Electric and Gas	Commercial New Construc, Stantec-Energy Modeling Partne	13,980
	sun8 PDC LLC	TIOGA	NYS Electric and Gas	>200KW PV, NY Sun	7,321,191
	TOMPKINS	NYS Electric and Gas	>200KW PV, NY Sun	18,903,756	
Taitem Engineering, P.C.	BROOME	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	CHEMUNG	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	TOMPKINS	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,998	
		NYS Electric and Gas	<200KW PV, NY Sun	10,584	
			Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500	
The Gunlocke Company	STEUBEN	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficiency	585,238	
TRC Energy Services	DELAWARE	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
United Health Services Hospitals Inc	BROOME	NYS Electric and Gas	EXISTING FACILITIES, Commercial	297,142	
			Industrial Process Effic, Industrial Process Efficiency	31,729	
United Wind Project I, LLC	STEUBEN	NYS Electric and Gas	SMALL WIND, Wind Turbine Incentive	41,902	
Utsayantha Solar LLC	DELAWARE	NYS Electric and Gas	>200KW PV, NY Sun	845,093	
Xzerta Energy Group LLC	CHEMUNG	NYS Electric and Gas	>200KW PV, NY Sun	1,105,119	
	TOMPKINS	NYS Electric and Gas	>200KW PV, NY Sun	4,669,897	
			>200KW PV, NY-Sun	2,436,509	
<b>Total</b>					<b>45,808,459</b>
Statewide	205 Wolf Holdings, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, 2017 NYSERDA All-Staff Mtg	5,000
	455 Hospitality LLC	STATEWIDE	Statewide	Multifam Performance Pgm, 2017 Multifamily Summit	50,000
	Abt Associates Inc.	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Community Flood Risk	167,910
	Alliance for Sustainable Energy, LLC	STATEWIDE	Statewide	MARKET PATHWAYS, Residential Products	125,000
	Amerex Brokers LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, Modeling and Analytics	49,999
	Ampersand Olcott Harbor Hydro LLC	STATEWIDE	Statewide	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	61,560
	Ampersand Tannery Island Hydro, LLC	STATEWIDE	Statewide	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	157,130
	Amphora Consulting	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Strategic Program Dev Training	75,000
	Antares Group, Inc.	STATEWIDE	Statewide	Industrial Process Effic, Technical Review and Program S	12,242
	Applied Energy Group, Inc.	STATEWIDE	Statewide	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	87,414
	APX Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, NYGATS	246,300
	Arcadis of New York, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, Large Scales Renewables Techni	111,527
	Arcadis U.S., Inc.	STATEWIDE	Statewide	EXISTING FACILITIES, Technical Review and Program S	146,844
				NY-SUN, Technical Review and Program S	150,000
	Argus Media Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, Fuel price forecasting service	35,000
	Auburn City of	STATEWIDE	Statewide	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	881,550
	Barry Frohlinger	STATEWIDE	Statewide	NEW YORK GREEN BANK, Credit Training for NYGB Staff	27,500
	Battery Energy Storage System	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	250,000
	Benchmark Printing, Inc.	STATEWIDE	Statewide	GJGNY REVOLVING LOAN FUND, Printing Services	3,205
	Bergmann Associates	STATEWIDE	Statewide	Flexible Tech Assistance, Technical Review and Program S	76,504
				FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	76,504



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Statewide	Bergmann Associates	STATEWIDE	Statewide	Industrial Process Effic, Technical Review and Program S	31,128
				INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	93,384
				REV CAMPUS CHALLENGE, Technical Review and Program S	30,000
	Bloom Energy Corporation	STATEWIDE	Statewide	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	1,079,296
	Blue Pearl Hospitality LLC	STATEWIDE	Statewide	Low-Income Forum on Energy, 2017 LIFE Regional Mgt. - LI	9,000
	Bond, Schoeneck & King, PLLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFP 3300 Outside Counsel Servi	7,500
	Brattle Group Inc.	STATEWIDE	Statewide	Off-Shore Wind Master Plan, Large Scales Renewables Techni	895,000
	Brookhaven National Lab	STATEWIDE	Statewide	OTHER PROGRAM AREA, ERL Test Accelerator (C-Beta)	25,000,000
	Buckeye Terminals, LLC	STATEWIDE	Statewide	SFRUP:Upstate Strat Fuel Res, Upstate NY Strategic Fuels Res	1,356,000
	Butler/Till Media Services, Inc.	STATEWIDE	Statewide	EMPOWER NY, Marketing Contract	59,957
				HOME PERFORMANCE WITH ENERGY STAR, Marketing Contract	156,182
				MULTIFAMILY PERFORMANCE PROGRAM, Marketing Contract	92,083
				STATEWIDE RESIDENTIAL POINT OF SALE, Marketing Contract	14,912
	BW Research Partnership	STATEWIDE	Statewide	OTHER PROGRAM AREA, New York Clean Energy Jobs Stu	278,956
	CDH Energy Corporation	STATEWIDE	Statewide	COMBINED HEAT AND POWER, RFP 3328	2,000,000
				EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	76,500
				EVALUATION, Technical Review and Program S	189,610
	Center for Sustainable Energy	STATEWIDE	Statewide	OTHER PROGRAM AREA, ChargeNY ZEV Rebate Imp Contra	4,964
	CHA Consulting Inc.	STATEWIDE	Statewide	Agriculture Energy Eff Pgm, Technical Review and Program S	54,529
				Flexible Tech Assistance, Technical Review and Program S	102,126
				FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	102,126
				Industrial Process Effic, Commercial & Industrial Outrea	480,747
				Industrial Process Effic, Technical Review and Program S	72,766
				INDUSTRIAL PROCESS EFFICIENCY, Commercial & Industrial Outrea	120,547
				INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	218,298
				On-Site Energy Manager, Commercial & Industrial Outrea	73,535
				Strategic Energy Manager, Commercial & Industrial Outrea	81,370
	Charge CCCV, LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	500,000
	ChromaNanoTech LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	250,000
	City of Auburn	STATEWIDE	Statewide	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	881,550
	Clean Power Research	STATEWIDE	Statewide	NY-SUN, Power Clerk Database for NYSUN	7,649
				NYSERDA ADMINISTRATION, Power Clerk Database for NYSUN	4,119
	CLEARResult Consulting, Inc.	STATEWIDE	Statewide	Low Rise New Construction, Implementation and Support con	513,444
				NEW YORK ENERGY STAR HOMES, Implementation and Support con	300,000
				NYSERDA ADMINISTRATION, Phone Email & Web Support	438,004
	ClearStak LLC	STATEWIDE	Statewide	RENEWABLE HEAT NY, Round-Robin Testing Program	40,000
	Consortium for Energy Efficiency, Inc.	STATEWIDE	Statewide	Prof & Expert Engagement, CEE ETAC 2016 Membership	5,000
	Constellation Energy Nuclear Group, LLC	STATEWIDE	Statewide	ZEC-CES ZEC Payments, Large-Scale Renewables	375,270,305
	Cornell University	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, NY climate clearinghouse	54,752
				Greenhouse Light & Systems Eng, Industrial & Agriculture	3,120,000
				OTHER PROGRAM AREA, 76West Building a Clean Energy	98,138
				OTHER PROGRAM AREA, 2017 EaC Sponsorship	30,000
	CoStar Realty Information, Inc.	STATEWIDE	Statewide	Subscription/Data Access, Database/subscription services	21,250
	Couch White, LLP	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Coun..	5,000
	CTG:I LLC	STATEWIDE	Statewide	EVALUATION, One year subscription for 3 us	4,250
				Subscription/Data Access, One year subscription for 3 us	4,250
	Culver Company, LLC	STATEWIDE	Statewide	POLICY DEVELOPMENT, Consumer Serv & Events Managem	16,549
	D & R International Ltd	STATEWIDE	Statewide	EVALUATION, Performance Management	84,400
	Darling Advertising Agency Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	8,000
				Off-Shore Wind Master Plan, Marketing Support for NYSERDA	320,000
	DatArcs, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	250,000
	Dentons US LLP	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Green Bank Outside Legal Ser.	89,546
	Direct Marketing Productions, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, 2017 arpa-e Sponsorship	6,000
	Dodge Data & Analytics	STATEWIDE	Statewide	EVALUATION, Dodge Data	41,425
	Dowd-Witbeck Printing Corp.	STATEWIDE	Statewide	COMBINED HEAT AND POWER, Printing Services	775
				Home Perf w Energy Star, Printing Services	2,744
				Low-Income Forum on Energy, Printing Services	3,071
				NYSERDA ADMINISTRATION, Printing Services	1,722
				NYSERDA ADMINISTRATION, Printing Services-MWBE	2,433
	Eagle Creek Hydro Power LLC	STATEWIDE	Statewide	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	2,397,000
	Ecova Inc	STATEWIDE	Statewide	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	525,790
	Electric Energy Services & Advisors, LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, Modeling and Analytics	35,000
	Emacx Systems, Inc.	STATEWIDE	Statewide	ADVANCED BUILDINGS, EFP2500 - Emacx - 28 Liberty	96,117
				EXISTING FACILITIES, EFP2500 - Emacx - 28 Liberty	427,112
	EME Consulting Engineering Group, LLC	STATEWIDE	Statewide	EXISTING FACILITIES, Technical Review and Program S	107,000
				Flexible Tech Assistance, Technical Review and Program S	107,000
	Energetics, Incorporated	STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, Animating the EV market in NYS	1,700,000
	Energy & Resource Solutions, Inc.	STATEWIDE	Statewide	Industrial Process Effic, Commercial & Industrial Outrea	223,399
				Industrial Process Effic, Technical Review and Program S	53,129
				INDUSTRIAL PROCESS EFFICIENCY, Commercial & Industrial Outrea	56,018
				INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	159,387
				On-Site Energy Manager, Commercial & Industrial Outrea	34,171
				Strategic Energy Manager, Commercial & Industrial Outrea	37,812
	Energy and Environmental Economics Inc.	STATEWIDE	Statewide	>200KW PV, Tech Assist, REV Pool	50,000
				CLEAN TRANSPORTATION, BCA of EV grid impacts	100,000
				ENERGY ANALYSIS, Tech Assist, REV Pool	25,000
				INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Renewable ..	35,127
				OTHER PROGRAM AREA, Renewable Heating Cooling TA	30,000
				OTHER PROGRAM AREA, Tech Assist, REV Pool	25,000
				Rmve Barriers Dist Enrgy Storg, Tech Assist, REV Pool	30,000
	Energy Futures Group, Inc.	STATEWIDE	Statewide	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	482,101
	Entergy Nuclear Fitzpatrick, LLC	STATEWIDE	Statewide	ZEC-CES ZEC Payments, Large-Scale Renewables	107,492,335
	Erie Boulevard Hydropower LP	STATEWIDE	Statewide	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	2,714,216
	Essense Partners Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, 76West Marketing Consultant	40,025
				OTHER PROGRAM AREA, Marketing Support for NYSERDA	617,500
	EV Connect Inc.	STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, CGC55811 - EV Connect	1,400,000
	Foley Hoag, LLP	STATEWIDE	Statewide	Off-Shore Wind Master Plan, Off Shore Wind Legal Consultin	25,000

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Statewide	GDS Associates, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, Res Baseline Excel File Rework	49,279
	Gideon Putnam Hotel	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, 2017 NERC Biennial Conference	15,000
				Low-Income Forum on Energy, 2017 LIFE Reg. Mtg. - Saratoga	7,000
	Global Thermostat Operations LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFGL3101 76W Clean Energy Comp	250,000
	Gomez and Sullivan Engineers, D.P.C.	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, NYS Hydropower Database	48,949
	Gove Group, Inc.	STATEWIDE	Statewide	Low-Income Forum on Energy, LIFE 2017 Reg Mtg Reg Services	19,886
	Green & Healthy Homes Initiative, Inc	STATEWIDE	Statewide	Healthy Homes Feasibility, Healthy Homes Initiative	212,147
	Green Light New York, Inc.	STATEWIDE	Statewide	Prof & Expert Engagement, 2017 BEEJ Membership	50,000
	Greentech Media Inc.	STATEWIDE	Statewide	RENEWABLE THERMAL, Solar Research Service	28,995
				Subscription/Data Access, Grid Edge Research	30,000
	Harris Beach PLLC	STATEWIDE	Statewide	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Outside Co..	10,000
	Hodgson Russ LLP	STATEWIDE	Statewide	>200KW PV, RFP 3300 Outside Counsel Servi	10,000
	Holland & Knight LLP	STATEWIDE	Statewide	LARGE SCALE RENEWABLES, RFP 3300 Outside Counsel Servi	164,645
				NYSERDA ADMINISTRATION, RFP 3300 Outside Counsel Servi	85,355
				ZEC:CES ZEC Pgm Non-Rec Exp, RFP 3300 Outside Counsel Servi	66,585
	Honeywell International Inc.	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, QA Servic...	0
				Home Perf w Energy Star, Program Implementation Service	1,500,000
				HOME PERFORMANCE WITH ENERGY STAR, QA Services HPwES a..	48,000
				RENEWABLE HEAT NY, RHHY Pellet Stove QA Services	43,540
	Hoosick Falls Central School District	STATEWIDE	Statewide	OTHER PROGRAM AREA, Equipment Purchase from HFCS	126,100
	ICF Resources, LLC	STATEWIDE	Statewide	CLEAN TRANSPORTATION, BCA of EV grid impacts	78,251
				EVALUATION, Eco. & Env. Impact Evaluation	63,492
	Idea Crossing, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, Application Management System	19,250
	IHS Global Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, Energy forecast subscription	33,235
	Industrial Economics, Incorporated	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	138,620
	Infosys International Inc	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, RFP3365 Private Cloud Hosting	861,843
	Institute for Building Technology and Sa	STATEWIDE	Statewide	>200KW PV, NY-Sun Technical Support	45,000
	Intrinsic Materials, Inc.	STATEWIDE	Statewide	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced Cl..	391,717
	Invenergy, LLC	STATEWIDE	Statewide	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	163,565,450
	Jasper Van den Munckhof	STATEWIDE	Statewide	Retrofit NY, RetrofitNY advisement	50,000
	JCB Specialties, Inc.	STATEWIDE	Statewide	POLICY DEVELOPMENT, 2016 DPS NYS Fair Mini Fans	17,741
	John Siegenthaler	STATEWIDE	Statewide	WORKFORCE DEVELOPMENT, RFP 3165 Hydronic System Desig	58,000
	Katonah Lewisboro UFSD	STATEWIDE	Statewide	EXISTING FACILITIES, EFP2452-Katonah-Lewisboro Scho	47,241
	Kearns & West, Inc.	STATEWIDE	Statewide	REC:CES REC Pgm Non-Rec Exp, LSR siting support	50,000
	Kelleher Samets Volk	STATEWIDE	Statewide	Home Perf w Energy Star, Marketing Support for NYSERDA	50,000
				Multifam Performance Pgm, Marketing Support for NYSERDA	1,121,751
				NY-SUN, Marketing Support for NYSERDA	3,500,000
				NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	8,000
	Kilowatt Engineering, Inc.	STATEWIDE	Statewide	Commercial Real Estate Ten, FlexTech Consultant Selection	333,333
	L&S Energy Services, Inc.	STATEWIDE	Statewide	Flexible Tech Assistance, Technical Review and Program S	335,000
				FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	335,000
				Industrial Process Effic, Technical Review and Program S	13,030
				INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	95,867
				REV CAMPUS CHALLENGE, Technical Review and Program S	30,001
	Launch New York, Inc.	STATEWIDE	Statewide	Prof & Expert Engagement, Launch NY Sponsorship	25,000
	LC DRives	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Advanced Transportation Tech	50,000
	Loeb & Loeb LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	132,899
	Luthin Associates, Inc.	STATEWIDE	Statewide	REV CAMPUS CHALLENGE, C&I Buildings Outreach	187,760
	M.J. Bradley & Associates	STATEWIDE	Statewide	CLEAN TRANSPORTATION, BCA of EV grid impacts	75,287
	Meister Consultants Group, Inc.	STATEWIDE	Statewide	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Renewable ..	55,000
				NY-SUN, NY-SUN PVBOS Training and Educ	82,046
	Micatu, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	1,000,000
	Michaels Energy, Inc.	STATEWIDE	Statewide	Industrial Process Effic, RFQ 3183 Michaels Energy	300,000
	National Oilheat Research Alliance	STATEWIDE	Statewide	ADVANCED BUILDINGS, Advanced Buildings Technology	59,663
				ADVANCED BUILDINGS, Tankless Coil Boilers	40,338
	Navigant Consulting Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	105,226
	NESCAUM	STATEWIDE	Statewide	RENEWABLE HEAT NY, Mobile Woodsmoke PM Monitoring	50,000
				RENEWABLE HEAT NY, Tech Assist, REV Pool	180,000
	NESEA	STATEWIDE	Statewide	Commercial Real Estate Ten, 2016 NESEA Sponsorship	3,750
				Multifam Performance Pgm, 2016 NESEA Sponsorship	7,500
				Real Time Energy Management, 2016 NESEA Sponsorship	3,750
	New Buildings Institute, Inc.	STATEWIDE	Statewide	ADVANCED ENERGY CODES, NYStretch	50,000
				Prof & Expert Engagement, 2016 Sponsorship of NBI	25,000
	New York Academy of Sciences	STATEWIDE	Statewide	EVALUATION, Innovation and Business Develo	150,000
				OTHER PROGRAM AREA, Innovation and Business Develo	248,000
	New York Battery and Energy Storage	STATEWIDE	Statewide	CLEAN TRANSPORTATION, NYS Energy Storage Outreach	150,000
	New York Geothermal Energy Organization	STATEWIDE	Statewide	RENEWABLE HEAT NY, 2017 NY-GEO Conf. Sponsorship	5,000
	New York Power Authority	STATEWIDE	Statewide	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSERDA-NYP..	218,746
	New York Solar Energy Industries Associa	STATEWIDE	Statewide	COMBINED HEAT AND POWER, CHP Conference/Expo Promotion	5,000
	Newport Ventures, Inc.	STATEWIDE	Statewide	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	3,500
	NIRAS A/S	STATEWIDE	Statewide	Off-Shore Wind Master Plan, Large-Scale Renewables	50,000
	Nixon Peabody LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	125,000
	Noresco LLC	STATEWIDE	Statewide	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	18,085
	Northbrook New York, LLC	STATEWIDE	Statewide	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	9,649,800
	Northeast Clean Heat & Power Initiative	STATEWIDE	Statewide	COMBINED HEAT AND POWER, CHP Conference/Expo Promotion	6,000
	Northeast Energy Efficiency Partnerships	STATEWIDE	Statewide	Prof & Expert Engagement, NEEP's 2016 Membership	25,000
	Novus Engineering, P.C.	STATEWIDE	Statewide	REV CAMPUS CHALLENGE, FlexTech Consultant Selection	36,508
	Omicap Group, LLC	STATEWIDE	Statewide	GJGNY REVOLVING LOAN FUND, Financial Advisory Services	375,000
				NEW YORK GREEN BANK, Financial Advisory Services	79,000
	Open Energy Efficiency Inc.	STATEWIDE	Statewide	EVALUATION, Testing Open EE Meter	37,400
	Praveen Amar	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Environmental Research Science	40,000
	PRIME Coalition Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, PRIME Event Sponsorship	9,000
	Rasky Baerlein Strategic Communications	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Communications Services for Re	2,692
	Regional Greenhouse Gas Initiative, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, Energy & Environmental Analysis	902,790
	Rensselaer Polytechnic Institute	STATEWIDE	Statewide	Greenhouse Light & Systems Eng, Industrial & Agriculture	1,880,000
	Research Into Action, Inc.	STATEWIDE	Statewide	Clean Energy Communities, Research Into Action TWO	263,558
				Rmve Barriers Dist Energy Storg, Research Into Action TWO	136,716

**Projects Selected for Funding by Region**  
**Period 10/1/2016 through 3/31/2017**

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Statewide	Robert O Gurman	STATEWIDE	Statewide	NEW YORK GREEN BANK, Gurman Contract Consulting	50,000	
				SMART GRID SYSTEMS, NY Prize Stage 2 Scope of Wk	22,500	
	Sive Paget & Riesel PC	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Coun..	7,500	
	Skadden, Arps, Slate, Meagher & Flom LL	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	21,511	
	Smarter Grid Solutions	STATEWIDE	Statewide	DER Integration(Intrnct), PON 3404 DER Integration	99,440	
	Solar Promotion International GmbH	STATEWIDE	Statewide	NY-SUN, 2017 Intersolar Summit USAEast	25,000	
	Stony Brook Foundation - Advanced Energy	STATEWIDE	Statewide	OTHER PROGRAM AREA, 2018 Advanced Energy Conf	100,000	
	SUNY - ESF	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Stat. Assess. Loon Monitoring	49,962	
				RENEWABLE HEAT NY, Environmental Research	30,000	
	SUNY Research Foundation	STATEWIDE	Statewide	Low Rise New Construction, 2017 NYS Green Bldg Conf	2,625	
				Multifam New Construction, 2017 NYS Green Bldg Conf	2,625	
	Sustainable Energy Advantage, LLC	STATEWIDE	Statewide	REC:CES REC Pgm Non-Rec Exp, Large Scales Renewables Techni	103,708	
				REC:CES REC System Dev Costs, Large Scales Renewables Techni	196,289	
	Sustainable Performance Consulting, Inc.	STATEWIDE	Statewide	Commercial New Construc, Outrch and Pjct Consulting NCP	45,000	
				NEW CONSTRUCTION PROGRAM, Outrch and Pjct Consulting NCP	705,000	
	Syracuse University	STATEWIDE	Statewide	ENERGY ANALYSIS, CL Assessment for lakes stream	24,458	
				NextGen HVAC, 2016 Syracuse CoE Symposium	10,000	
	Taitem Engineering, P.C.	STATEWIDE	Statewide	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	173,375	
				Solar Thermal, Technical Review and Program S	39,817	
	The Cadmus Group, Inc.	STATEWIDE	Statewide	On-Site Energy Manager, RFQ 3183 The Cadmus Group Inc	212,803	
				Strategic Energy Manager, RFQ 3183 The Cadmus Group Inc	212,803	
	The Levy Partnership, Inc.	STATEWIDE	Statewide	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION..	374,014	
	The Mathworks, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, Software License	8,600	
	The Renewables Consulting Group, LLC	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, Technical Support for OSW Mast	50,000	
	TRC Energy Services	STATEWIDE	Statewide	Flexible Tech Assistance, Technical Review and Program S	58,505	
				FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	180,000	
				Workforce Industry Partnership, Technical Review and Program S	250,000	
	U.S. Department of the Interior	STATEWIDE	Statewide	Off-Shore Wind Master Plan, BOEM Bid Deposit	450,000	
	University at Albany Foundatio	STATEWIDE	Statewide	OTHER PROGRAM AREA, 2018 NY Business Plan Sponsor	25,000	
	Upstate Venture Connect	STATEWIDE	Statewide	Prof & Expert Engagement, UVC Sponsorship	25,000	
	Urban Electric Power, LLC	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Zinc MO2 battery scale up	299,898	
	Warren Pinnacle Consulting, Inc.	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, SLAMM adaptation	97,918	
	Watershed Assessment Associates, LLC	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Aquatic Macroinvertebrate ID	24,000	
	Wendel Energy Services, LLC	STATEWIDE	Statewide	Flexible Tech Assistance, FlexTech Consultant Selection	23,000	
	White Knight Productions	STATEWIDE	Statewide	OTHER PROGRAM AREA, 76West photography/videography	26,940	
	Willdan Energy Solutions	STATEWIDE	Statewide	Industrial Process Effic, C&I Outreach	93,454	
				Industrial Process Effic, Technical Review and Program S	28,896	
				INDUSTRIAL PROCESS EFFICIENCY, C&I Outreach	23,433	
				INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	86,688	
				On-Site Energy Manager, C&I Outreach	14,295	
				Strategic Energy Manager, C&I Outreach	15,818	
	William J Dombrowski	STATEWIDE	Statewide	NEW YORK GREEN BANK, Revision of NYGB's RFP	50,000	
	XC Associates, Inc.	STATEWIDE	Statewide	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Smart Wind ..	49,999	
	Yale Robbins Publications, LLC	STATEWIDE	Statewide	COMBINED HEAT AND POWER, 2017 Co-op, Condo & Art Expo	15,000	
	<b>Total</b>				<b>732,138,510</b>	
	Western New York	Adam C. Boese	ERIE	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		AECOM Technical Services Inc.	CATTARAUGUS	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, Environmental Monitorin..	528,358
		Amdor, LLC	ERIE	NYS Electric and Gas	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	28,333
		Antares Group, Inc.	ERIE	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program ..	12,550
		Baja Beach Club, Inc.	ERIE	National Grid	NEW CONSTRUCTION PROGRAM, NCP98324 - Curtiss Building	23,742
Bergmann Associates		ALLEGANY	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		NIAGARA	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
				Industrial Process Effic, Technical Review and Program S	3,875	
Brenda Sayers		CATTARAUGUS	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, WV Office Cleaning	11,940	
Brian Firestone		ERIE	NYS Electric and Gas	Low Rise New Construction, New Construction	5,500	
Buffalo Neighborhood Stabilization Co		ERIE	National Grid	Low Rise New Construction, Codes & New Construction	31,000	
Buffalo Solar Solutions Inc		ALLEGANY	National Grid	<200KW PV, NY-Sun	7,440	
		ERIE	NYS Electric and Gas	<200KW PV, NY-Sun	5,280	
C.J. Brown Energy, P.C.		CATTARAUGUS	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		CHAUTAUQUA	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	4,000	
		ERIE	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
		NIAGARA	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
				NEW CONSTRUCTION PROGRAM, CJ Brown - EMP	14,163	
CIR ELECTRICAL CONSTRUCTION CORP.		ERIE	National Grid	<200KW PV, NY Sun	16,712	
				<200KW PV, NY-Sun	5,624	
			NYS Electric and Gas	<200KW PV, NY Sun	13,576	
		NIAGARA	Null	<200KW PV, NY Sun	9,648	
			National Grid	<200KW PV, NY Sun	18,684	
				<200KW PV, NY-Sun	5,996	
			NYS Electric and Gas	<200KW PV, NY Sun	5,460	
			NYS Electric and Gas	<200KW PV, NY Sun	7,410	
Collegiate Builders		ERIE	NYS Electric and Gas	<200KW PV, NY Sun	7,410	
EME Consulting Engineering Group, LLC		ERIE	National Grid	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	17,500	
Enercon Services Inc		CATTARAUGUS	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3305 Licence Cons..	193,127	
Erdman Anthony & Associates, Inc.		ERIE	National Grid	Industrial Process Effic, Technical Review and Program S	16,043	
Flexo Transparent Inc.		ERIE	National Grid	Industrial Process Effic, Industrial Process Efficiency	234,613	
Forbes-Capretto Homes		NIAGARA	National Grid	Low Rise New Construction, Codes & New Construction	5,000	
Fort Schuyler Management Corporation		ERIE	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	338,075	
Freedom Solar Inc.		ALLEGANY	Rochester Gas and El.	<200KW PV, NY Sun	9,360	
		NIAGARA	National Grid	<200KW PV, NY Sun	18,552	
G.W. Ehrhart, Inc.		NIAGARA	National Grid	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Robe	23,155	
Gard Tec Security Svcs., Inc.		CATTARAUGUS	National Grid	Security for West Valley offic	9,657	
Grand Island Solar, LLC		ERIE	National Grid	>200KW PV, NY Sun	917,309	
Greenskies Renewable Energy LLC		ERIE	NYS Electric and Gas	>200KW PV, NY-Sun	461,632	
HH 310 Rainbow LLC		NIAGARA	National Grid	NEW CONSTRUCTION PROGRAM, NCP12990-NiagaraFallHotel-OFLT	30,000	
Hydronic Specialty Supply		CHAUTAUQUA	National Grid	RENEWABLE HEAT NY, Smart Pre-Assembly for Boilers	283,700	
IGS Ventures, Inc.		ERIE	National Grid	>200KW PV, NY Sun	95,106	
Intelligent Green Solutions		CHAUTAUQUA	National Grid	RENEWABLE THERMAL, Renewable Heating & Cooling	3,329	

**Projects Selected for Funding by Region**  
**Period 10/1/2016 through 3/31/2017**

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
Western New York	Ivy Lea Construction	ERIE	National Grid	NEW CONSTRUCTION PROGRAM, NCP12961 - IvyLeaConstruction	6,467		
	Kaleida Health	ERIE	National Grid	NEW CONSTRUCTION PROGRAM, NCP13061 - Flint Lab Renovatio	27,593		
	Kapsch TrafficCom Transportation NA Inc.	ERIE	National Grid	CLEAN TRANSPORTATION, Corporate Name Change	499,179		
	LaBella Associates, P.C.	ERIE	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000		
	Lifetime Housing Development Corp.	ERIE	National Grid	Low Rise New Construction, Codes & New Construction	54,600		
	LCiminelli, Inc.	ERIE	National Grid	NEW YORK ENERGY STAR HOMES, New Construction	228,500		
	M/E Engineering, P.C.		ERIE	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
					Commercial New Construc, M/E - EMP	7,325	
			NIAGARA	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
					NEW CONSTRUCTION PROGRAM, M/E - EMP	15,550	
	MJW Technical Services, Inc.	CATTARAUGUS	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection Sup..	1,382,982		
	Nexant, Incorporated	ERIE	National Grid	EXISTING FACILITIES, Technical Review and Program S	2,916		
	Norstar Solar LLC	CHAUTAUQUA	National Grid	>200KW PV, NY Sun	911,181		
	Pathfinder Engineers & Architects, LLP	ERIE	National Grid	Commercial New Construc, Pathfinder - EMP	48,883		
	People United for Sustainable Housing In	ERIE	National Grid	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	126,163		
	Seneca Nation	CATTARAUGUS	National Grid	>200KW PV, NY Sun	705,279		
	Solar Liberty Energy Systems, Inc	CHAUTAUQUA	National Grid	<200KW PV, NY Sun	5,304		
				<200KW PV, NY Sun	61,863		
				<200KW PV, NY-Sun	6,354		
				National Grid	<200KW PV, NY Sun	53,514	
				NYS Electric and Gas	<200KW PV, NY Sun	7,182	
				<200KW PV, NY-Sun	11,300		
		NIAGARA	National Grid	<200KW PV, NY Sun	11,468		
	SolarCity Corporation	ERIE	National Grid	>200KW PV, NY Sun	139,366		
	Stratford Arms Housing LP	ERIE	National Grid	Multifam Performance Pgm, Multifamily	9,225		
	The Logue Group	CATTARAUGUS	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, Facilitation Services	67,803		
	The Research Foundation of SUNY (UB)	ERIE	National Grid	REV CAMPUS CHALLENGE, REV Campus Challenge	1,000,000		
	TM Montante Solar Developments, LLC	ERIE	National Grid	<200KW PV, NY Sun	59,524		
				>200KW PV, NY Sun	292,117		
				<200KW PV, NY Sun	8,064		
		NIAGARA	National Grid	<200KW PV, NY Sun	8,064		
	U.S. Department of Energy/Wv	CATTARAUGUS	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, FFY 2017 WVDP Cost S..	7,600,000		
	U.S. Nuclear Regulatory Commission	CATTARAUGUS	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, PO Payment of NRC Lic..	250,000		
	United Wind Project I, LLC	CHAUTAUQUA	National Grid	SMALL WIND, Wind Turbine Incentive	277,106		
				ERIE	National Grid	SMALL WIND, Wind Turbine Incentive	123,875
				NIAGARA	National Grid	SMALL WIND, Wind Turbine Incentive	240,694
	United Wind, Inc.	ERIE	NYS Electric and Gas	SMALL WIND, Wind Turbine Incentive	38,030		
	Village of Fredonia	CHAUTAUQUA	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	60,780		
	Vishay Thinfilm	NIAGARA	National Grid	Industrial Process Effic, Industrial Process Efficiency	27,222		
	Wendel Energy Services, LLC	NIAGARA	National Grid	Industrial Process Effic, Technical Review and Program S	3,790		
	West Seneca Fire District 2	ERIE	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP12903-WestSenecaFireStation	13,176		
	<b>Total</b>					17,829,825	
	<b>Grand Total</b>					990,284,106	

NYSERDA  
Public Authority Law Report  
October 1, 2016 to March 31, 2017

Section Break

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
1 John Street LLC	NEW CONSTRUCTION PROGRAM, NCP12109 - 1 John Street Brook	64,208
1st Light Energy, Inc.	<200KW PV, NY-Sun	121,495
2 North 6th Venture LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	249,300
3 Times Square Associates LLC	EXISTING FACILITIES, EFP2509 - 3 Times Square	137,375
3Gi CNYIP, Inc.	CLEANER GREENER COMMUNITIES, CGC26840 - 3Gi CNYIP	68,500
5th Avenue LLC	FLEXIBLE TECHNICAL ASSISTANCE, FT10394-Elk Investors-489 5th	11,975
7-Eleven Inc.	EXISTING FACILITIES, EFP2431 - 7-Eleven Inc. - 7 EI	238,602
22nd Century Technologies, Inc.	NYSERDA ADMINISTRATION, Staff Augmentation	44,525
32 Sixth Avenue Co LLC	EXISTING FACILITIES, EFP2510 - Rudin (DMP) - 32 6th	129,121
33 Bond St LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	214,200
38 Astoria Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	119,700
60 East 8th St Condo	COMBINED HEAT AND POWER, Distributed Generation as Comb	216,127
63 Madison Owners LLC	EXISTING FACILITIES, EFP2463 - 63 Madison Owners	86,458
69th Tenant Corp	ADVANCED BUILDINGS, EFP/DMP2263 - 69th St. Tenant	35,000
	EXISTING FACILITIES, EFP/DMP2263 - 69th St. Tenant	226,447
101 Avenue D Associates, LLC	NEW CONSTRUCTION PROGRAM, NCP98527 - Lower East Side Gir	14,168
111 East 48th Street Holdings	EXISTING FACILITIES, EFP2267 - 111 East 48th St	91,882
115 Lenox Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	64,000
123 E 37 Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	65,800
133 Equities, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	24,899
137 F Realty Corp.	CLEAN TRANSPORTATION, PON2290: Babylon Valero E85 in	35,000
166 East 96th Street Owners Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	45,500
180 West End Avenue Condominium	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	113,000
261 Fifth Ave TIC Owner LLC	FLEXIBLE TECHNICAL ASSISTANCE, FT10500 - 261 Fifth Avenue	19,875
285 Madison Owner, LLC	NEW CONSTRUCTION PROGRAM, NCP11587 - 285 Madison Ave	30,570
285 Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	38,000
290 Empire Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	73,000
330 Madison Avenue LLC	ADVANCED BUILDINGS, EFP2216 - 330 Madison Ave LLC	70,000
345 Montgomery Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	30,600
355 Lexington LLC	EXISTING FACILITIES, EFP2511- Rudin - 355 Lexing	167,129
444 Park South Avenue	NEW CONSTRUCTION PROGRAM, NCP11096 - 444 Park Ave South	105,641
520 East Ave Apts LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	41,000
614 South Crouse Avenue LLC	NEW CONSTRUCTION PROGRAM, NCP12643 - 614 South Crouse ..	10,520
622 VCA LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	21,000
625 Ownership LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - Pon 1746	5,000
825 West End Condominium	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	74,200
845 Third LP	EXISTING FACILITIES, EFP2512 - 845 Third L.P - 845	417,000
1018 E. 163 St. Co.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	48,500
4410-4414 Cayuga Avenue Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	56,000
Able Electrical Services, LLC	<200KW PV, NY-Sun	5,202
Abt Associates Inc.	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	21,223
Abt SRBI, Inc.	EVALUATION, Survey Data Collection Contrac	48,707
ABW	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	21,000
Accord Power, Inc.	<200KW PV, NY Sun	5,712
	<200KW PV, NY-Sun	110,669
Actasys	CLEAN TRANSPORTATION, Active Flow Control for Traile	36,832
	CLEAN TRANSPORTATION, Truck Aero Control System	74,034
Action Research Inc.	ADVANCED BUILDINGS, Behavior Research Pilot Design	31,674
	CLEAN TRANSPORTATION, Behavior Research Pilot Design	6,911
	RENEWABLES & DER INTEGRATION, Linking Behavioral Insights to	12,663

**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>Active Solar Development, LLC</b>	RENEWABLE THERMAL, Renewable Heating & Cooling	6,000
	Solar Thermal, Solar Thermal Incentives	11,443
<b>Adam C. Boese</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	46,890
	Flexible Tech Assistance, FlexTech Consultant Selection	6,254
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	22,830
	GJGNY REVOLVING LOAN FUND, Daylight Savings Co. (Adam C.	71,170
<b>Adelphi University</b>	COMBINED HEAT AND POWER, CHPerformance Program-PON27..	700,000
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	32,368
<b>Adirondack Farms LLC</b>	ANAEROBIC DIGESTER, RPS ADG - Adirondack	419,084
<b>Adirondack North Country Association</b>	CLEANER GREENER COMMUNITIES, CGC42502 - CGC One Stop ..	303,221
	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	18,195
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	14,165
<b>Advanced Climate Technologies, LLC</b>	ADVANCED BUILDINGS, ACT Pellet Boiler Enhancements	39,000
<b>Advantage Title Agency, Inc.</b>	GJGNY REVOLVING LOAN FUND, Title Company in Support of On	250
<b>AE Solar Energy Inc.</b>	NY-SUN, NY-Sun Comp. Liberty Distribut	143,447
<b>AECOM Technical Services Inc.</b>	WEST VALLEY DEVELOPMENT PROGRAM, Environmental Monitori..	322,443
<b>Aegis Energy Services Inc.</b>	COMBINED HEAT AND POWER, CHPA - 220 Madison	44,550
	COMBINED HEAT AND POWER, CHPA - 400 Central Park West	59,400
	COMBINED HEAT AND POWER, CHPA - Avalon Fort Greene	115,500
	COMBINED HEAT AND POWER, CHPA - Beresford Apartments	59,400
	COMBINED HEAT AND POWER, CHPA - Dorado Apartments	45,900
	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 - One Lincoln Plaza Condo	172,013
	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 Petersfield	59,400
	COMBINED HEAT AND POWER, CHPA - The Westmont	44,550
	COMBINED HEAT AND POWER, CHPA - Time Square	115,500
	COMBINED HEAT AND POWER, CHPA - Village Mall Hillcrest	59,400
COMBINED HEAT AND POWER, CHPA- Remeeder House - Blake	20,790	
<b>Aeonsolar</b>	<200KW PV, NY-Sun	126,271
<b>Affordable Housing Partnership</b>	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	39,881
<b>AHA Development Corporation</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	71,000
<b>AKF-engineers</b>	Flexible Tech Assistance, FlexTech Consultants Statewide	10,165
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	58,782
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultants Statewi..	2,622
<b>Albany Energy, LLC</b>	LARGE SCALE RENEWABLES, Albany 2	133,100
	LARGE SCALE RENEWABLES, Albany Energy LLC	36,606
<b>Albany Engineering Corp.</b>	LARGE SCALE RENEWABLES, Mechanicville Hydro	138,828
	LARGE SCALE RENEWABLES, Stuyvesant Falls Hydroelectric	79,151
<b>Albany Institute of History and Art</b>	EXISTING FACILITIES, Commercial	9,051
<b>Albany, City of,</b>	CLEANER GREENER COMMUNITIES, CGC28993 - City of Albany	78,500
<b>Albert Einstein College of Medicine</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	56,594
<b>Alden Central School District</b>	NEW CONSTRUCTION PROGRAM, NCP13203 - Alden High School	6,762

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
All HVAC Service Co.	EXISTING FACILITIES, EFP2081 - Bright Energy	27,534
Alliance for Housing Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	653,289
Alliance for Sustainable Energy, LLC	MARKET PATHWAYS, Residential Products	50,000
Altanova LLC	Commercial New Construc, Altanova - Energy Modeling Par	8,960
	Flexible Tech Assistance, FlexTech Consultant Selection	14,994
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	17,422
Alternative Power Solutions of NY, LLC	<200KW PV, NY Sun	32,144
	<200KW PV, NY-Sun	28,237
AltPOWER, Inc.	<200KW PV, NY-Sun	36,084
	<200KW PV, RES-NewConst(no longer in use)	14,459
Ambrosino, DePinto & Schmieder	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	24,461
Ambrosino, DePinto & Schmieder Consultin	NEW CONSTRUCTION PROGRAM, NCP TA Contract - ST10133	0
American Energy Care, Inc.	<200KW PV, NY Sun	24,600
	<200KW PV, NY-Sun	23,880
American Fuel Cell	CLEAN TRANSPORTATION, NY-BEST Bench-to-Prototype	50,000
American Packaging Corp.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	34,565
American Renewable Energy, Inc.	<200KW PV, NY Sun	5,040
	<200KW PV, NY-Sun	8,436
American Solar Partners, LLC	<200KW PV, NY Sun	21,000
	<200KW PV, NY-Sun	98,574
	<200KW PV, RES-NewConst(no longer in use)	88,280
Amphora Consulting	NYSERDA ADMINISTRATION, Strategic Program Dev Training	141,000
Animal Haven	NEW CONSTRUCTION PROGRAM, NCP13062 - Animal Haven	7,580
Antares Group, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	COMBINED HEAT AND POWER, Technical Review and Program S	30,375
	ENVIRONMENTAL RESEARCH, Wood Heat & Power LCA Lit Rev	35,168
	Industrial Process Effic, Technical Review and Program S	9,156
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	17,790
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	44,877
	NYSERDA ADMINISTRATION, Renewable Portfolio Standard T	1,908
Anthony J Berejka	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EB & XRa..	20,000
Apache Oil Company, Inc.	FUEL NY, GSP00294-002 - Apache Oil Comp	13,000
	FUEL NY, GSP00294-003 - Apache Oil Comp	13,000
Apex Solar Power LLC	<200KW PV, NY Sun	128,322
	<200KW PV, NY-Sun	188,723
	RENEWABLE THERMAL, Renewable Heating & Cooling	6,000
Applied Energy Group, Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	17,852
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	7,564
Applied Power Systems, Inc.	CLEAN TRANSPORTATION, NY-BEST Bench-to-Prototype	127,677
APX Inc.	LARGE SCALE RENEWABLES, NYGATS	449,718
Aramark Management Svc Ltd Prtnshp	EXISTING FACILITIES, Technical Review and Program S	21,999
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	346
Arcadis of New York, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	27,486
	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	6,950
	Flexible Tech Assistance, FlexTech Consultant Selection	1,241
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	7,687
	OTHER PROGRAM AREA, Large Scales Renewables Techni	21,664
Arcadis U.S., Inc.	AGRICULTURE ENERGY EFFICIENCY, Technical Review and Progr..	145
	COMBINED HEAT AND POWER, Technical Review and Program S	9,111
	EXISTING FACILITIES, Technical Review and Program S	116,294



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Arcadis U.S., Inc.</b>	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	1,991
	FUEL NY, Technical Review and Program S	836,948
	Industrial Process Effic, Technical Review and Program S	12,700
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	3,057
	NY-SUN, Technical Review and Program S	4,939
	NYSERDA ADMINISTRATION, Greenling the Bronx M&V	43,852
<b>Argus Avionics, Inc.</b>	CLEAN TRANSPORTATION, ADVANCED TRANSPORTATION TEC..	27,723
<b>Armson Farms, Inc</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	33,451
<b>ARTEMIS SOLAR LLC</b>	NY-SUN, Cornell - Musgrave	819,081
<b>Arts Center and Theater of Schenectady,</b>	CLEANER GREENER COMMUNITIES, CGC27842 - Marquee Power..	8,000
<b>Aspden Assets, Inc</b>	NY-SUN, Assignee/Vendor 37085	62,216
<b>Association for Energy Affordability, In</b>	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	50,240
<b>Association of Energy Engineers</b>	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	56,895
<b>Astrum Solar, Inc.</b>	<200KW PV, NY Sun	23,892
	<200KW PV, NY-Sun	77,362
<b>Atelier Ten</b>	Commercial New Construc, ATEN - EMP	5,777
	NEW CONSTRUCTION PROGRAM, ATEN - EMP	17,376
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	1,733
<b>Atlantic Avenue Capital Partners LLC</b>	NEW CONSTRUCTION PROGRAM, NCP13072 - Atlantic Avenue Cap	8,134
<b>Auburn City of</b>	LARGE SCALE RENEWABLES, Mill Street Dam Hydro	3,564
<b>Aurora Ridge Dairy LLC</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	164,904
<b>Autronic Plastics, Inc.</b>	ADVANCED BUILDINGS, LED Lighting	55,000
	CLEAN TRANSPORTATION, Metro Platform Light	475
<b>BAE Systems Controls, Inc.</b>	CLEAN TRANSPORTATION, Parallel Hybrid Powertrain	6,560
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Li-Ion Life ..	125,000
<b>Barbaera Homes and Development, Inc.</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	6,000
<b>Bard College</b>	REV CAMPUS CHALLENGE, REV Campus Challenge	62,184
<b>Barrier Free Living Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	43,592
<b>Battery Energy Storage System</b>	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	100,000
<b>BBL Construction Services LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12154-Crtyrd Marriott-OFLT	43,886
<b>Behavioral Ideas Lab, Inc.</b>	ADVANCED BUILDINGS, Behavior Overview & Design	85,732
<b>Benchmark Printing, Inc.</b>	GJGNY REVOLVING LOAN FUND, Printing Services	3,205
<b>Bentham Foundation</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	20,000
<b>Bergman Associates, P.C.</b>	CLEAN TRANSPORTATION, Mkt Trn (no longer in use)	8,968
<b>Bergmann Associates</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	30,251
	EXISTING FACILITIES, Technical Review and Program S	1,786
	Flexible Tech Assistance, FlexTech Consultant Selection	67,839
	Flexible Tech Assistance, Technical Review and Program S	0
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	863
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	77,207
	Industrial Process Effic, Technical Review and Program S	11,473
	INDUSTRIAL PROCESS EFFICIENCY, FlexTech Consultant Selection	1,269
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	66,166
RENEWABLE HEAT NY, Technical Review and Program S	7,173	
<b>Berkeley Cooperative Towers Sec. II Corp</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	222,000
<b>Best Energy Power</b>	<200KW PV, NY-Sun	460,634
<b>Beth Israel Medical Center</b>	EXISTING FACILITIES, EFP2175 - Beth Israel Medical	15,812
<b>Bettergy Corporation</b>	CLEAN TRANSPORTATION, NY-BEST Bench to Prototype Sol	71,871
	CLEAN TRANSPORTATION, Prototype Development	10,962
<b>BH Coffee Company LLC</b>	Industrial Process Effic, IPE16021-Barrie House Coffee	35,500

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Big Tree Glen Housing Development Fund</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	140,000
<b>Bigwood Systems Inc</b>	SMART GRID SYSTEMS, EPTD Smart Grid Program	118,000
<b>BioDiversity Research Institute</b>	ENVIRONMENTAL RESEARCH, Monitoring Birds and Loons- Hg	65,400
<b>BK GAS CORP</b>	FUEL NY, GSP00363 - BK Gas Corp.	9,004
<b>Blackhawk Development LLC</b>	NEW CONSTRUCTION PROGRAM, NCP13162 - Project Blackhawk	74,168
<b>BlocPower Public Benefits Corporation</b>	SMART GRID SYSTEMS, City of NY, Brownsville	80,000
<b>Blue Raven Solar</b>	<200KW PV, NY-Sun	5,100
<b>Bluestone Energy Services</b>	EXISTING FACILITIES, EFP2507 - Bluestone Energy -	210,448
<b>Bluestone Management Associates, LLC</b>	GREEN AFFORDABLE HOUSING, Multifamily	7,786
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	38,314
<b>BOCES of Rockland</b>	WORKFORCE DEVELOPMENT, Clean Energy Training for HS	61,157
<b>Bolla EM Realty LLC</b>	FUEL NY, GSP00282 - Bolla EM Realty LLC	10,000
	FUEL NY, GSP00285 - Bolla EM Realty LLC	10,000
<b>Bolla Operating Corp.</b>	FUEL NY, GSP00362 - Bolla Operating Cor	10,000
<b>Bolla Operating LI Corp.</b>	FUEL NY, GSP00274 - Bolla Operating LI	10,000
<b>Bond, Schoeneck &amp; King, PLLC</b>	NYSERDA ADMINISTRATION, Outside Legal Services	2,316
<b>Boro Park Village - Phase II</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	18,200
<b>BP Products North America Inc.</b>	FUEL NY, GSP-00809 - BP Products North	9,504
<b>Brattle Group Inc.</b>	Off-Shore Wind Master Plan, Large Scales Renewables Techni	421,797
<b>Brianna Bowers</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	3,000
<b>Bridge Metals Industries</b>	CLEAN TRANSPORTATION, Renewable,Clean Energy & Energ	101,733
<b>Bright Power, Inc.</b>	<200KW PV, NY Sun	14,852
	<200KW PV, NY-Sun	92,874
	<200KW PV, RES-NewConst(no longer in use)	12,099
	>200KW PV, Commerical/IndustrialPV	90,716
	ADVANCED BUILDINGS, PV Battery backup system demo	10,000
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	107,922
<b>Broadway Housing Development Fund Compan</b>	GREEN AFFORDABLE HOUSING, Multifamily	0
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	63,486
<b>Bronx Park Phase III Preservation, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	165,500
<b>Brookhaven National Lab</b>	ADVANCED BUILDINGS, Advanced Buildings Technology	65,121
	ENVIRONMENTAL RESEARCH, Energy and Environmental Perfo	34,050
	RENEWABLE HEAT NY, Energy and Environmental Perfo	48,112
	RENEWABLE HEAT NY, Next-Gen Test Method Devel	105,875
<b>Brooklyn Friends School</b>	NEW CONSTRUCTION PROGRAM, NCP12248 - Brooklyn Friends Sc	29,830
<b>Brooklyn SolarWorks LLC</b>	<200KW PV, NY Sun	16,800
	<200KW PV, NY-Sun	6,237
<b>Buckeye Terminals, LLC</b>	FUEL NY, Upstate NY Strategic Fuels Res	363,547
	SFRUP:Upstate Strat Fuel Res, Upstate NY Strategic Fuels Res	426,374
<b>Buckhurst, Fish, Jacquemart, Inc.</b>	CLEAN TRANSPORTATION, Institutionalizing Integrated	19,724
	CLEAN TRANSPORTATION, Mobile New Rochelle Feasibilit	10,427
<b>Buffalo and Fort Erie Public Bridge Auth</b>	NEW CONSTRUCTION PROGRAM, NCP11160 - Peace Bridge Auth..	98,718
<b>Buffalo Niagara Medical Campus, Inc.</b>	CLEAN TRANSPORTATION, Residential Parking Benefits	21,622
<b>Buffalo Solar Solutions Inc</b>	<200KW PV, NY Sun	10,440
	<200KW PV, NY-Sun	12,720
<b>Buffalo State College</b>	NEW CONSTRUCTION PROGRAM, NCP7647 - Science Building (Bu	352,278
	NEW CONSTRUCTION PROGRAM, NCP11714 - Buffalo State Colle	15,152
<b>Burrows Paper Corporation</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	17,223
<b>Butler/Till Media Services, Inc.</b>	EMPOWER NY, Marketing Contract	12,590
	HOME PERFORMANCE WITH ENERGY STAR, Marketing Contract	128,254

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Butler/Till Media Services, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Marketing Contract	81,143
	STATEWIDE RESIDENTIAL POINT OF SALE, Marketing Contract	10,615
<b>C.J. Brown Energy, P.C.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	18,790
	COMBINED HEAT AND POWER, FlexTech Consultant Selection	3,691
	Flexible Tech Assistance, FlexTech Consultant Selection	3,269
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	19,392
	NEW CONSTRUCTION PROGRAM, CJ Brown - EMP	3,183
<b>C.T. Male Associates Engineering,</b>	EXISTING FACILITIES, Technical Review and Program S	326
	Flexible Tech Assistance, FlexTech Consultant Selection	7,294
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	39,500
<b>C'Ville Yoghurt, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	143,450
<b>Caithness Long Island LLC</b>	SMART GRID SYSTEMS, Competitive Greenhouse Gas	81,767
<b>California Associates, LP</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	131,000
<b>Calstart</b>	CLEAN TRANSPORTATION, Advanced Transportation Tech	50,000
	CLEAN TRANSPORTATION, Implementation contractor for	118,438
	CLEANER GREENER COMMUNITIES, CGC54612 - CALSTART	39,580
<b>Calvary Grandparents Residence, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	31,800
<b>CAMBA Housing Ventures, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,400
<b>Capital District Regional Planning Comm.</b>	CLEANER GREENER COMMUNITIES, CGC53356 - CDRPC	410,398
<b>Carol Watson</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	19,227
<b>Cascade Tissue Group-New York Inc.</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	22,028
<b>Catskill Mountainkeeper, Inc</b>	CLEANER GREENER COMMUNITIES, CGC39425 - Renewable NY	334,292
<b>Cayuga Medical Center at Ithaca</b>	NEW CONSTRUCTION PROGRAM, NCP11115 - CMC0B10 (Cayug..	42,959
<b>Cazenovia Hospitality LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11778 - Cazenovia Hospitali	13,879
<b>CDH Energy Corporation</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	24,119
	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	2,500
	COMBINED HEAT AND POWER, CHP System Inspection	42,800
	COMBINED HEAT AND POWER, RFP 3328	191,924
	COMBINED HEAT AND POWER, Technical and Logistic Support	12,144
	COMBINED HEAT AND POWER, Technical Review and Program S	15,558
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	18,808
	EVALUATION, Technical Review and Program S	48,665
	EXISTING FACILITIES, EFP Task Work Order	15,195
	EXISTING FACILITIES, Technical Review and Program S	528
	Industrial Process Effic, Technical Review and Program S	5,159
	INDUSTRIAL PROCESS EFFICIENCY, EFP Task Work Order	238
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	21,092
NYSERDA ADMINISTRATION, DG-CHP Remote Monitoring Data	2,376	
<b>CE Renwick LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12795 - Tommie Hudson S..	5,780
<b>CEC Stuyvesant Cove, Inc.</b>	CLEANER GREENER COMMUNITIES, CGC55294 - Solar One	280,273
	OTHER PROGRAM AREA, Solar One Community Solar	0
	WORKFORCE DEVELOPMENT, PON 2774 Career Pathways	20,943
	WORKFORCE DEVELOPMENT, Solar One Community Solar	0
	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	16,780
<b>Cellco Partnership</b>	Industrial Process Effic, Industrial Process Efficiency	6,136
<b>Centennial Gardens Partners, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	18,900
<b>Center for Sustainable Energy</b>	OTHER PROGRAM AREA, ChargeNY ZEV Rebate Imp Contra	95,750
<b>Centerstate Corporation for</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Innovation..	133,000
<b>Central New York Regional Planning and D</b>	CLEANER GREENER COMMUNITIES, CGC31214 - CNYRPDB	126,378
	CLEANER GREENER COMMUNITIES, CGC42070 - CNY Mitigation ..	38,625

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Central New York Regional Planning and D</b>	CLEANER GREENER COMMUNITIES, CGC57053 - CNY RPDB	259,782
	COMMUNITY SOLAR, Central New York Solar	23,760
	OTHER PROGRAM AREA, Central New York Solar	51,809
	SMART GRID SYSTEMS, City of Syracuse NY Prize	20,000
	WORKFORCE DEVELOPMENT, Central New York Solar	51,809
<b>CHA Consulting Inc.</b>	Agriculture Energy Eff Pgm, Technical Review and Program S	4,153
	AGRICULTURE ENERGY EFFICIENCY, Technical Review and Progr..	42,233
	EXISTING FACILITIES, Technical Review and Program S	23,030
	Flexible Tech Assistance, FlexTech Consultant CHA	114,983
	Flexible Tech Assistance, Technical Review and Program S	0
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	117,319
	Industrial Process Effic, Commercial & Industrial Outrea	235,848
	Industrial Process Effic, FlexTech Consultant CHA	-6,522
	Industrial Process Effic, Technical Review and Program S	71,310
	INDUSTRIAL PROCESS EFFICIENCY, Commercial & Industrial Outr..	31,774
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	250,632
	On-Site Energy Manager, Commercial & Industrial Outrea	628
	RENEWABLE HEAT NY, Technical Review and Program S	5,354
Strategic Energy Manager, Commercial & Industrial Outrea	695	
<b>Charge CCCV, LLC</b>	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	200,000
<b>Charlotte Square Apartments, LLC</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	185,500
<b>Chart, Inc.</b>	RENEWABLES & DER INTEGRATION, Acoustical sterling engine	8,300
<b>Chautauqua County</b>	LARGE SCALE RENEWABLES, Chautauqua LFGE	124,550
<b>ChromaNanoTech LLC</b>	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	100,000
<b>CIR ELECTRICAL CONSTRUCTION CORP.</b>	<200KW PV, NY Sun	52,406
	<200KW PV, NY-Sun	17,402
<b>City of Binghamton</b>	SMART GRID SYSTEMS, City of Binghamton NY Prize	85,000
<b>City of Buffalo, Department of Public W</b>	SMART GRID SYSTEMS, City of Buffalo NY Prize	100,000
<b>City of Dunkirk Housing Authority</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	80,000
<b>City of Geneva</b>	CLEANER GREENER COMMUNITIES, CGC30440 - City of Geneva	36,925
<b>City of Lackawanna</b>	CLEANER GREENER COMMUNITIES, CGC27923 - City of Lackawa..	18,000
<b>City of New Rochelle</b>	CLEANER GREENER COMMUNITIES, CGC30569 - New Rochelle	39,650
<b>City Of New York</b>	CLEANER GREENER COMMUNITIES, CGC43226 - New York City	279,167
	NEW CONSTRUCTION PROGRAM, CGC43226 - New York City	24,917
	OTHER PROGRAM AREA, Newtown Creek WWTP food waste	64,780
<b>City of New York, Dept. of Citywide</b>	>200KW PV, PV System @ NYC School K224	17,400
	>200KW PV, PV System @ NYC School K278	18,544
	>200KW PV, PV System @ NYC School K302	24,596
	>200KW PV, PV System @ NYC School K324	24,244
	>200KW PV, PV System @ NYC School K380	20,424
	>200KW PV, PV System @ NYC School Q072	31,660
	>200KW PV, PV System @ NYC School Q204	27,809
	>200KW PV, PV System @ NYC School Q237	29,524
	>200KW PV, PV System @ NYC School Q445	33,504
	>200KW PV, PV System @ NYC School Q505	44,963
	>200KW PV, PV System @ NYC School R455	50,296
	>200KW PV, PV System @ NYC School X184	28,383
	<b>City of Oswego</b>	CLEANER GREENER COMMUNITIES, CGC40394 - Oswego Compl..
SMART GRID SYSTEMS, City of Oswego, NY Prize		19,800
<b>City of Poughkeepsie</b>	CLEANER GREENER COMMUNITIES, CGC40849 - City of Poughke..	55,700

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
City of Rensselaer	CLEANER GREENER COMMUNITIES, CGC41631 - City of Renssel..	12,000
City of Saratoga Springs, NY	CLEANER GREENER COMMUNITIES, CGC31779 - City of Saratoga	30,030
City Parks Foundation	GREENING THE BRONX, Greening The Bronx	109,084
City Point Residential LLC	NEW CONSTRUCTION PROGRAM, NCP12101 - City Point Building	22,120
Clarkson Solar, LLC	NY-SUN, New York Sun Competitive PV Pr	475,558
Clarkson Univ., Research Div.	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	161,095
Clarkson University	ADVANCED BUILDINGS, Advanced Buildings Technology	20,000
	ADVANCED BUILDINGS, Behavior Pilot-Clarkson Univ	50,000
	ADVANCED BUILDINGS, Wood Pellet Boiler Demo	821
	CLEAN TRANSPORTATION, Optimal EV Rate Structures in	8,000
	ENVIRONMENTAL RESEARCH, Guidance for Thermal Storage	0
	ENVIRONMENTAL RESEARCH, Wood Pellet Boiler Demo	0
	RENEWABLE HEAT NY, CO off-gassing pellet storage	80,192
	RENEWABLE HEAT NY, Community Exposure to WS Roch	188,615
	RENEWABLE HEAT NY, Guidance for Thermal Storage	37,388
Clean Energy States Alliance	ENERGY ANALYSIS, Coordination of USDOE Grant	83,451
Clean Technologies A LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	19,737
Clear Cove Systems Inc.	OTHER PROGRAM AREA, Demo of ClearCove EPT Technolo	0
CLEARResult Consulting, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Program..	363,533
	EMPOWER NY, Empower QA Services	155,104
	GJGNY REVOLVING LOAN FUND, GJGNY TIC	174,537
	Home Perf w Energy Star, Empower QA Services	228,080
	Home Perf w Energy Star, Program Implementation Service	895,374
	HOME PERFORMANCE WITH ENERGY STAR, Program Implement..	707,349
	Low Rise New Construction, Implementation and Support con	175,342
	NEW YORK ENERGY STAR HOMES, Implementation and Support c..	498,860
	NYSERDA ADMINISTRATION, Phone Email & Web Support	24,486
ClearStak LLC	RENEWABLE HEAT NY, Round-Robin Testing Program	35,749
Clifton Park Solar Partners, LLC	NY-SUN, PV System @ Town of Clifton Pa	126,077
Climate Action Associates LLC	CLEANER GREENER COMMUNITIES, Climate Smart Communities ..	201,967
Clinton Essex Warren Washington	WORKFORCE DEVELOPMENT, GJGNY Lab Houses	41,532
ClosedLoops, LLC	CLEAN TRANSPORTATION, Pneumatic Waste Transfer Study	49,241
Clough, Harbour & Associates, LLP	EXISTING FACILITIES, EFP Task Work Order	530
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	3,270
	INDUSTRIAL PROCESS EFFICIENCY, EFP Task Work Order	1,745
	INDUSTRIAL PROCESS EFFICIENCY, Existing Facilities Tech Assis	3,700
CNY Fabrication, LLC	NEW CONSTRUCTION PROGRAM, NCP14068-CNY Fabrication-OF..	130,142
CNY Solar, Inc.	<200KW PV, NY Sun	14,720
	<200KW PV, NY-Sun	71,546
Coach, Inc.	NEW CONSTRUCTION PROGRAM, NCP12237 - Coach Hq - OFLT	374,941
Code Green Solutions, Inc.	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	33,908
Cogan Group Inc	<200KW PV, NY Sun	24,632
Cogeneration Contractors, Inc.	COMBINED HEAT AND POWER, CHP Acceleration Program	115,187
	COMBINED HEAT AND POWER, CHPA - 66-36 Yellowstone	76,577
	COMBINED HEAT AND POWER, CHPA - 626 Flatbush	38,610
	COMBINED HEAT AND POWER, CHPA - Compass Residences	76,577
	COMBINED HEAT AND POWER, CHPA - Even Hotel	76,577
	COMBINED HEAT AND POWER, CHPA - Morris Avenue Apartment	38,610
	COMBINED HEAT AND POWER, CHPA - Riu Hotel New York	180,985
	COMBINED HEAT AND POWER, CHPA - Riverwalk 7	38,610

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<b>Cohen Ventures Inc</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	138,039
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	18,594
<b>Cohoes, City of</b>	CLEANER GREENER COMMUNITIES, CGC42156 - City of Cohoes	11,300
<b>Collegiate Builders</b>	<200KW PV, NY Sun	13,410
<b>Columbia University</b>	CLEAN TRANSPORTATION, Devel Electrofuels Prototype	89,715
	INDUSTRIAL PROCESS EFFICIENCY, Improving AD through EKD	0
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-C..	610,000
<b>Combined Energies LLC</b>	CLEAN TRANSPORTATION, Power/energy module dev & demo	12,596
<b>Communications Specialists, Inc.</b>	<200KW PV, NY Sun	5,886
	<200KW PV, NY-Sun	38,806
<b>Community Action Partnership for Madison</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	11,000
<b>Community Power Network of NYS, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, LIFE Implementation S..	11,711
<b>Computer Aid, Inc.</b>	NYSERDA ADMINISTRATION, Staff Augmentation	22,748
<b>CON EDISON SOLUTIONS, INC.</b>	NY-SUN, Commercial/Industrial	156,466
<b>Concern for Independent Living, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	36,000
<b>Concord Servicing Corporation</b>	GJGNY REVOLVING LOAN FUND, Multifamily	291
	GJGNY REVOLVING LOAN FUND, Products	703
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	0
<b>Congregation Beit Simchat Torah</b>	NEW CONSTRUCTION PROGRAM, NCP12713 - CBST Synagogue	15,103
<b>Connection Technology Center, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	25,055
<b>Consolidated Edison Company</b>	SMART GRID SYSTEMS, Integ. of Microgrids & DER	460,000
<b>Consortium for Energy Efficiency, Inc.</b>	Prof & Expert Engagement, Industrial Process Efficiency	25,000
<b>Constellation NewEnergy Inc.</b>	NY-SUN, New York Sun Competitive PV Pr	253,582
<b>Cooper Crouse-Hinds</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	23,208
<b>COOPER ELECTRIC SUPPLY INC</b>	NY-SUN, NY-Sun Comp. Monroe Cable	139,036
<b>Cooper Power Systems</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	129,475
<b>Cornell Cooperative Ext. Dutchess County</b>	CLEANER GREENER COMMUNITIES, CGC40518 - Cornell Coop Ext	123,500
<b>Cornell Cooperative Extension - Tompkins</b>	CLEANER GREENER COMMUNITIES, CGC30635 - Southern Tier B..	306,958
<b>Cornell University</b>	CLEAN TRANSPORTATION, Anion Exchange Regen. Fuel Cel	77,159
	ENVIRONMENTAL RESEARCH, Dairy cooling demonstration	3,299
	ENVIRONMENTAL RESEARCH, improve EE of crop production	8,772
	ENVIRONMENTAL RESEARCH, Nanostructured Interfaces for	10,000
	ENVIRONMENTAL RESEARCH, NY climate clearinghouse	115,107
	ENVIRONMENTAL RESEARCH, optimize LED for greenhouses	34,445
	ENVIRONMENTAL RESEARCH, Performance of Biomass-fired	24,984
	ENVIRONMENTAL RESEARCH, Rainfall IDF Curves	15,187
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, 76West B..	109,716
	NEW CONSTRUCTION PROGRAM, NCP7695 - Stocking Hall (Corme	67,243
OTHER PROGRAM AREA, 76West Building a Clean Energy	571,437	
<b>Cornell University-Office of Sponsored P</b>	ADVANCED BUILDINGS, Micropowdered Biomass Combusti	-93
	ENERGY ANALYSIS, Accelerated Recovery	12,226
	ENVIRONMENTAL RESEARCH, Accelerated Recovery	14,313
	RENEWABLE HEAT NY, Biomass-Fired Emission Sources	23,454
	SMART GRID SYSTEMS, Anaerobic Digestion Assistance	57,503
<b>Corning Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	249,035
	INDUSTRIAL PROCESS EFFICIENCY, PON1219IP4	127,515
	NEW CONSTRUCTION PROGRAM, NCP7601 - Sullivan Park DV Bui	55,000
<b>Couch White, LLP</b>	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Co..	3,932
<b>County of Suffolk</b>	CLEANER GREENER COMMUNITIES, CGC28998 - Suffolk County	109,310
<b>Courtesy Mobil Car Care Center, Inc.</b>	FUEL NY, GSP00119-009 - Courtesy Mobil	10,000

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Courtney-Strong Inc.	CLEANER GREENER COMMUNITIES, CGC53012 - Courtney Strong	259,358
CPD NY Energy	FUEL NY, GSP00814 - CPD NY Energy (Mobi	10,000
CRE Spruce Haven LLC	ANAEROBIC DIGESTER, RPS CST ADG-to-Electricity Dai	35,378
	NEW CONSTRUCTION PROGRAM, RPS CST ADG-to-Electricity Dai	35,378
Creativa LLC	NEW CONSTRUCTION PROGRAM, NCP13106 - DeCicco & Sons	68,193
Croton Food Mart, Inc.	FUEL NY, GSP00621 - Croton Food Mart In	10,000
CUNY Institute for Urban Systems - CIUS	ADVANCED BUILDINGS, Assist operators of BAS	22,000
	ADVANCED BUILDINGS, Behav Pilot w/ Bldg Operators	34,000
Cusie 31 LLC	NEW CONSTRUCTION PROGRAM, NCP12209 - 11 East 31st Street	12,151
Custom Electronics, Inc.,	CLEAN TRANSPORTATION, Commercial intro of GEC	89,053
Cutone & Company Consultants, LLC	ADVANCED BUILDINGS, EFP2230 - Cutone & Company Con	29,520
	ADVANCED BUILDINGS, Existing Facilities Program -	17,340
	EXISTING FACILITIES, EFP1752 - Iona College	8,422
	EXISTING FACILITIES, EFP2230 - Cutone & Company Con	88,560
	EXISTING FACILITIES, Existing Facilities Program -	136,476
	EXISTING FACILITIES, PON1219EE5	270,605
Cypress Hills Local Development Corporat	GREEN AFFORDABLE HOUSING, Multifamily	0
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	67,415
D. F. Brandt, Inc.	Industrial Process Effic, Industrial Process Efficiency	61,938
D&B Engineers and Architects, PC	SMART GRID SYSTEMS, Village of Port Jefferson	20,000
Dailey Electric Inc	<200KW PV, NY Sun	7,728
	<200KW PV, NY-Sun	5,520
Darling Advertising Agency Inc.	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	7,391
	Off-Shore Wind Master Plan, Marketing Support for NYSERDA	9,887
DatArcs, Inc.	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	100,000
David P Bruns	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	218,000
DCG Development Co.	NEW CONSTRUCTION PROGRAM, PON1601-R3	117,734
DealCloud Inc.	NEW YORK GREEN BANK, DealCloud Implementation	6,450
	NEW YORK GREEN BANK, DealCloud Licensing	1,052
DeCiccoss Market Place	NEW CONSTRUCTION PROGRAM, NCP14052 - DeCicco of Katonah	49,951
Deer Run Dairy LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	27,216
Dennis Willebrandt	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	53,910
Dentons US LLP	NYSERDA ADMINISTRATION, Green Bank Outside Legal Ser.	89,546
DePaul Properties, Inc.	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	250,000
Development Authority of the North Count	SMART GRID SYSTEMS, Village of Croghan NY Prize	30,000
Dewberry Consultants LLC	ENVIRONMENTAL RESEARCH, East Hampton resiliency	64,886
Dewberry Engineers Inc	ENVIRONMENTAL RESEARCH, Transportation Climate ADP	133,151
Dixon Manor LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	83,000
Dock Street Rental, LLC	NEW CONSTRUCTION PROGRAM, NCP11275 - 60 Water Street	25,000
Doherty Electric, LLC	<200KW PV, NY-Sun	8,018
Dorado Preservation Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	189,000
Douglas R Jarvis	<200KW PV, NY Sun	9,856
Dowd-Witbeck Printing Corp.	COMBINED HEAT AND POWER, Printing Services	775
	Low-Income Forum on Energy, Printing Services	3,071
	NYSERDA ADMINISTRATION, Printing Services	1,722
Downstream Construction, LLC	<200KW PV, NY Sun	5,796
DP32 LLC	NEW CONSTRUCTION PROGRAM, NCP12021 - 531 Bedford Road	9,972
Draper Homes Housing Development Fund Co	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	81,200
Duane Allen	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	13,289
Dueppengiesser Dairy Co.	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	9,008

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<b>E&amp;S Environmental Chemistry Inc.</b>	ENVIRONMENTAL RESEARCH, Acid deposition on forests	3,812
	ENVIRONMENTAL RESEARCH, Acid Deposition and Understory	31,395
<b>Eagle Creek Hydro Power LLC</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	27,950
<b>Earth Environmental Group, LLC</b>	RENEWABLE THERMAL, NY-Sun	123,775
<b>East Coast Properties</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	117,080
<b>East Harlem Center</b>	NEW CONSTRUCTION PROGRAM, NCP13025-EHarlemTutorial-OF..	24,110
<b>East Village 14 LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	25,800
<b>Eastern Energy Systems Inc.</b>	<200KW PV, NY-Sun	39,928
	<200KW PV, RES-NewConst(no longer in use)	5,250
<b>Eastern Research Group, Inc.</b>	ENVIRONMENTAL RESEARCH, Environmental Outreach	19,366
<b>Eastview Service Station Inc.</b>	FUEL NY, GSP00474 - Eastview Service St	10,000
<b>EB Realty of Albany</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	71,200
<b>Ecology and Environment Engineering, PC</b>	CLEANER GREENER COMMUNITIES, CGC Implementation Contrac..	151,573
<b>EcoMarkets LLC</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	42,030
<b>Ecova Inc</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	106,400
<b>Ecovative Design LLC</b>	ADVANCED BUILDINGS, Advanced Buildings Program	105,000
	CLEAN TRANSPORTATION, Biomaterial Sound Attenuation	17,302
<b>Ecovis, Inc.</b>	<200KW PV, NY-Sun	30,824
<b>Edge Design and Consulting, Inc.</b>	<200KW PV, NY-Sun	8,400
	<200KW PV, RES-NewConst(no longer in use)	9,450
<b>Edgemere Owners, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	20,200
<b>EI Mira Colony Park LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	13,975
<b>EI Puente</b>	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	25,097
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	48,979
<b>Electric Power Research Institute</b>	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	91,894
	OTHER PROGRAM AREA, FS to evaluate MFC/UF	21,108
	SMART GRID SYSTEMS, Electric Power Trans & Dist Sm	370,000
	SMART GRID SYSTEMS, Urban Microgrid	150,750
<b>Electrovaya Company</b>	SMART GRID SYSTEMS, Electrovaya	200,000
<b>Elmwood Manor Associates, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	60,000
<b>Emacx Systems, Inc.</b>	ADVANCED BUILDINGS, EFP2026 - Emacx Systems Inc -	50,680
	ADVANCED BUILDINGS, EFP2468 - Emacx Systems, Inc.	3,600
	ADVANCED BUILDINGS, EFP2500 - Emacx - 28 Liberty	96,117
	ADVANCED BUILDINGS, EFP2645 - Emacx NYPH Columbia	88,542
	EXISTING FACILITIES, EFP2026 - Emacx Systems Inc -	231,784
	EXISTING FACILITIES, EFP2468 - Emacx Systems, Inc.	64,988
	EXISTING FACILITIES, EFP2500 - Emacx - 28 Liberty	427,112
	EXISTING FACILITIES, EFP2645 - Emacx NYPH Columbia	323,568
<b>Embassy Square Apartments LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	129,000
<b>EMCOR Services Betlem</b>	Flexible Tech Assistance, FlexTech Consultant Selection	10,714
<b>EME Consulting Engineering Group, LLC</b>	>200KW PV, Existing Facilities Tech Assit	377,134
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	Commercial New Construc, EME - EMP	22,275
	EXISTING FACILITIES, Technical Review and Program S	47,020
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	111,920
	MARKET PATHWAYS, FlexTech Consultant Selection	9,149
	NEW CONSTRUCTION PROGRAM, EME - EMP	3,284
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	94,822
	NYSERDA ADMINISTRATION, Existing Facilities Tech Assit	-377,134
<b>Empire Farmstead Brewery, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP10256 - Empire Farmstead..	17,380



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<b>Empire Housing and Development Corporati</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	37,000
<b>Empire Solar Solutions LLC</b>	<200KW PV, NY Sun	81,012
	<200KW PV, NY-Sun	32,074
<b>Empire State Realty OP, LP</b>	EXISTING FACILITIES, EFP2350 - Empire State Realty	351,718
<b>Empower CES, LLC</b>	<200KW PV, NY Sun	22,129
	<200KW PV, NY-Sun	348,329
<b>Enbala Power Networks USA Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	139,883
<b>ENER-G ROTORS, Inc</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Waste hea..	290,000
<b>ENER-G Rudox Inc.</b>	COMBINED HEAT AND POWER, CHPA - Michaelangelo Hotel	150,196
	COMBINED HEAT AND POWER, CHPA - Mima Apartments	277,217
	COMBINED HEAT AND POWER, CHPA- Westport	186,912
<b>Eneractive Solutions</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant EnerActi..	14,287
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	35,295
<b>Enercon Services Inc</b>	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3305 Licence Co..	38,553
<b>Energetics, Incorporated</b>	CLEAN TRANSPORTATION, Battery LCA for Lev 3 EVSE	12,115
	CLEAN TRANSPORTATION, Electric Vehicle Supply Equipm	55,518
	CLEAN TRANSPORTATION, Planning Board EVSE Promotion	45,203
	CLEAN TRANSPORTATION, Truck Platooning Study	47,349
	CLEANER GREENER COMMUNITIES, Animating the EV market in N..	33,226
	SMART GRID SYSTEMS, Flex Energy Tech Analysis 2	128,757
<b>Energy &amp; Resource Solutions, Inc.</b>	AGRICULTURE ENERGY EFFICIENCY, FlexTech Consultant ERS	2,249
	AGRICULTURE ENERGY EFFICIENCY, FlexTech Consultant Selecti..	16,610
	COMBINED HEAT AND POWER, Technical and Logistic Support	693,962
	EVALUATION, Impact Evaluation Contractor	119,252
	EXISTING FACILITIES, EFP Task Work Orders	4,611
	EXISTING FACILITIES, Technical Review and Program S	98,131
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant ERS	53,801
	Industrial Process Effic, Commercial & Industrial Outrea	179,778
	INDUSTRIAL PROCESS EFFICIENCY, Commercial & Industrial Outr..	0
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	126,407
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	32,259
	On-Site Energy Manager, Commercial & Industrial Outrea	0
	RENEWABLE HEAT NY, Technical Review and Program S	9,902
	Strategic Energy Manager, Commercial & Industrial Outrea	0
<b>Energy and Environmental Economics Inc.</b>	>200KW PV, Tech Assist, REV Pool	16,001
	ENERGY ANALYSIS, Tech Assist, REV Pool	8,000
	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	289,230
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Renewabl..	35,127
	Mkt Char: Tech Assist, Tech Assist, REV Pool	94,431
	OTHER PROGRAM AREA, Renewable Heating Cooling TA	6,427
	OTHER PROGRAM AREA, Tech Assist, REV Pool	8,000
	Rmve Barriers Dist Enrgy Storg, Tech Assist, REV Pool	29,505
<b>Energy Improvement Corporation</b>	CLEANER GREENER COMMUNITIES, CGC39896 - EIC	573,835
	MARKET PATHWAYS, Behavioral Demonstrations Prog	36,250
<b>Energy Power investment Company, LLC</b>	LARGE SCALE RENEWABLES, Large-Scale Renewables	292,835
<b>Enerlife Consulting Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	36,664
<b>Enermat Technologies, Inc.</b>	CLEAN TRANSPORTATION, Scalable Graphene Anodes	71,309
<b>EnerNex LLC</b>	SMART GRID SYSTEMS, Major Disturbance Mitigation	46,200
<b>Enerwise Global Technologies</b>	EXISTING FACILITIES, EFP2391 - Enerwise - Multisite	30,614
<b>Enerxia LLC</b>	EXISTING FACILITIES, EFP2374-Enerxia LLC - 100 Park	66,348

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>ENrG, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Thin E-Str..	3,407
<b>Ensava, Inc.</b>	Agriculture Energy Eff Pgm, AEEP Implementation Contractor	248,085
	AGRICULTURE ENERGY EFFICIENCY, AEEP Implementation Contr..	97,885
<b>EnterSolar LLC</b>	<200KW PV, NY-Sun	125,000
	NY-SUN, New York Sun Competitive PV Pr	239,964
	NY-SUN, RPS CST Regional Program	123,113
<b>Eonix LLC</b>	CLEAN TRANSPORTATION, Next Generation Electrolytes	107,594
<b>Ephesus Lighting, Inc.</b>	ADVANCED BUILDINGS, Solid State Baseball Stadium.	15,000
<b>Equity Energy, LLC</b>	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Page	10,000
<b>Erdman Anthony &amp; Associates, Inc.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	20,052
	Commercial New Construc, EAA - EMP	1,469
	Industrial Process Effic, Technical Review and Program S	7,274
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	6,028
	NEW CONSTRUCTION PROGRAM, EAA - EMP	3,600
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	17,579
<b>Eric Mower and Associates</b>	ADVANCED ENERGY CODES, RFQL and RFP 1224	18,620
	ASSISTED NEW YORK ENERGY STAR HOMES, RFQL and RFP 12..	2,508
	COMBINED HEAT AND POWER, RFQL and RFP 1224	112,306
	EXISTING FACILITIES, RFQL and RFP 1224	116,964
	INDUSTRIAL PROCESS EFFICIENCY, RFQL and RFP 1224	104,248
	NEW CONSTRUCTION PROGRAM, RFQL and RFP 1224	104,375
	NEW YORK ENERGY STAR HOMES, RFQL and RFP 1224	3,147
	WORKFORCE DEVELOPMENT, RFQL and RFP 1224	20,969
<b>Erie Boulevard Hydropower LP</b>	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	4,167
	LARGE SCALE RENEWABLES, School Street Hydro Project	56,494
	LARGE SCALE RENEWABLES, Stewarts Bridge Hydro Project	131,310
<b>Erie County</b>	CLEANER GREENER COMMUNITIES, CGC40859 - Erie County	94,766
<b>ERP Operating Limited Partnership</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	83,300
<b>Essense Partners Inc.</b>	OTHER PROGRAM AREA, Marketing Support for NYSERDA	45,082
<b>Essex County Government Center</b>	CLEANER GREENER COMMUNITIES, CGC31777 - Essex County	17,792
<b>EV Connect Inc.</b>	CLEAN TRANSPORTATION, Electric Vehicle Supply Equipm	10,709
	CLEANER GREENER COMMUNITIES, CGC55811 - EV Connect	39,368
<b>eV2g, LLC</b>	CLEAN TRANSPORTATION, Building-and Grid-Interactive	3,000
<b>Extraterrestrial Materials Inc.</b>	<200KW PV, NY Sun	10,000
	<200KW PV, NY-Sun	5,940
<b>EYP Architecture &amp; Engineering, PC</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	25,831
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	8,890
<b>Fairway Bakery LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11689 - Fairway Production	160,671
<b>Farrow's Auto Service, Inc.</b>	FUEL NY, GSP00120 - Farrows Auto Servic	10,000
<b>Ferguson Enterprises</b>	NEW CONSTRUCTION PROGRAM, NCP12414 - Ferguson Enterprise	112,022
<b>Ficazzola Consulting, LLC</b>	<200KW PV, NY-Sun	20,645
<b>Fifth Avenue Committee, Inc.</b>	GREEN AFFORDABLE HOUSING, RES-Multifam(no longer in use)	7,072
	MULTIFAMILY PERFORMANCE PROGRAM, RES-Multifam(no longe..	1,414
<b>Finch Paper, LLC</b>	Industrial Process Effic, Industrial Process Efficiency	90,683
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	19,323
<b>Finger Lakes ReUse, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP12514 - Ithaca ReUse Cent..	5,033
<b>Fingerlakes Renewables</b>	<200KW PV, NY-Sun	7,168
<b>First Columbia Property Services, LLC</b>	NYSERDA ADMINISTRATION, Property Management Services	250,056
<b>First Ward Action Council, Inc.</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	92,500
<b>First West 21st Street LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10514 - Chelsea Green (Firs	0

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FirstFuel Software, Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	107,300
Fitmar Management LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech - PON1746	9,375
Florenton River LLC	<200KW PV, NY-Sun	67,485
Fluor Industrial Services	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	15,285
Fordham University	EXISTING FACILITIES, EFP/DMP2132 - Fordham Univ.	1,135,404
Fort Drum Mountain Community Homes	HOME PERFORMANCE WITH ENERGY STAR, Fort Drum Low-Rise..	214,176
Fort Schuyler Management Corporation	NEW CONSTRUCTION PROGRAM, NCP11301 - Quad C	101,231
Fourth Coast, Inc.	<200KW PV, NY-Sun	36,808
Frank Communications	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Copywritin..	1,740
Fraunhofer USA Inc.	ADVANCED BUILDINGS, Beh Strategies for Thermostats	12,980
Frederick A Proven	<200KW PV, NY-Sun	5,824
Freedom Solar Inc.	<200KW PV, NY Sun	15,237
	<200KW PV, NY-Sun	41,465
Frey Electric Contruction Co., Inc.	<200KW PV, NY-Sun	20,624
Friendly Service Armonk, Inc.	FUEL NY, GSP00119-005 - Friendly Servic	10,000
Friends of the Gardenaerial Inc.	CLEANER GREENER COMMUNITIES, CGC40708 - Rochester Eco..	81,430
Full and By Farm	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	2,644
Fuller Road Management Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	14,584
Fulton Franklin Housing Development Fund	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	19,040
Fulton Park #2 Associates	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	112,800
Fund for Public Health in New York, Inc.	ENVIRONMENTAL RESEARCH, Climate ADP--Health and Energy	77,772
G. W. Lisk Co. Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	31,122
G.W. Ehrhart, Inc.	RENEWABLE HEAT NY, Renewable Heating & Cooling	29,625
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Barb	13,005
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Cayu	16,400
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Robe	9,262
Garner Environmental Services, Inc.	FUEL NY, Fuel NY Portable Emergency Gen	20,011
Gas Technology Institute	ADVANCED BUILDINGS, Evaluation and Demonstration	33,000
	ADVANCED BUILDINGS, Market evaluation of VRV GHP	50,068
Gaseteria Oil Corp.	FUEL NY, GSP00807-001 - Gaseteria Oil C	10,000
Gateway ShopRite Associates LLC	NEW CONSTRUCTION PROGRAM, NCP11593 - Gateway ShopRite	38,555
GCOM Software Inc.	NYSERDA ADMINISTRATION, Salesforce Implementation	1,003,870
	NYSERDA ADMINISTRATION, Staff Augmentation	216,812
GDS Associates, Inc.	GJGNY REVOLVING LOAN FUND, GDS - Small Commercial Energy	240,010
GE Fuel Cells, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	2,753,040
Geatrain Engineering PLLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	20,648
Gehring	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	13,649
Gemini Gas Inc.	FUEL NY, GSP00799 - Gemini Gas Inc. (57	9,950
General Electric Company	NEW CONSTRUCTION PROGRAM, NCP12770 - Building 33	49,023
Genesee Region Clean Communities, Inc.	CLEAN TRANSPORTATION, GRCC will seek proposals for A	25,864
Genesee Valley Transportation Co., Inc	CLEAN TRANSPORTATION, CNG Shortline Locomotive Study	8,459
Genesis Petroleum Inc.	FUEL NY, GSP00671-001 - Genesis Petrol	9,973
	FUEL NY, GSP00671-002 - Genesis Petrole	9,949
	FUEL NY, GSP00671-003 - Genesis Petrole	9,953
	FUEL NY, GSP00671-004 - Genesis Petrole	9,969
Genesys Engineering, P.C.	COMBINED HEAT AND POWER, FlexTech Consultant Selection	1,990
Geo of Camden, LLC	<200KW PV, NY-Sun	3,125
George E Denmark II	<200KW PV, NY Sun	5,568
	<200KW PV, NY-Sun	10,532
Georgia Tech Research Corporation	SMART GRID SYSTEMS, Electric Power Trans & Dist Sm	33,000

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<b>Ginsburg Development LLC</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	136,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	30,000
<b>Glenwood Management Corp</b>	ADVANCED BUILDINGS, EFP2308 - Glenwood Management	244,920
	EXISTING FACILITIES, EFP2308 - Glenwood Management	612,300
<b>Global Foundries U.S. Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	69,935
	NEW CONSTRUCTION PROGRAM, NCP98493 - Spine Building	45,563
	NEW CONSTRUCTION PROGRAM, NCP98495 - Fab Building	85,000
<b>Global Resource Funding Partners LLC</b>	>200KW PV, NY-Sun	89,270
	NY-SUN, NTP 2 JFK Bloomberg	250,061
	NY-SUN, NY-Sun	475,324
	NY-SUN, Products	598,143
<b>Go Solar/Green NY, LLC</b>	<200KW PV, NY Sun	14,878
	<200KW PV, NY-Sun	33,213
	<200KW PV, RES-NewConst(no longer in use)	4,578
<b>Goldman Copeland Associates, P.C.</b>	Flexible Tech Assistance, FlexTech Consultant Selection	877
	FLEXIBLE TECHNICAL ASSISTANCE, Flexible Technical Assistance	2,461
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	12,688
<b>Goldman Sachs</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	276,418
<b>Golub Corporation</b>	CLEAN TRANSPORTATION, Golub Corporation PON 2301 EVS	276,706
<b>Grand Island Central School District</b>	NEW CONSTRUCTION PROGRAM, NCP11382 - Grand Island HSM..	9,465
	NEW CONSTRUCTION PROGRAM, NCP11669 - Grand Island Middle	16,073
	NEW CONSTRUCTION PROGRAM, NCP11671 - Grand Island High S	30,000
<b>GRE Fund II Holdco LLC</b>	>200KW PV, NY Sun C&I	38,721
	>200KW PV, NY-Sun	138,736
	>200KW PV, NY-Sun CI Assignment	38,116
	NY-SUN, NY-Sun	91,669
<b>Great Brook Solar NRG, LLC</b>	<200KW PV, NY-Sun	27,059
	<200KW PV, RES-NewConst(no longer in use)	14,976
<b>Green Charge Networks</b>	ADVANCED BUILDINGS, EFP2295 - Green Charge Network	19,678
	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	1,500
	EXISTING FACILITIES, EFP2295 - Green Charge Network	49,076
<b>Green City Force</b>	WORKFORCE DEVELOPMENT, Career Pathways Training Partn	88,000
<b>Green Hybrid Energy Solutions Inc.</b>	<200KW PV, NY-Sun	74,499
<b>Green Jobs Training Center</b>	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	133,710
<b>Green Light Energy Conservation</b>	EXISTING FACILITIES, EFP2118 - Greenlight Energy Co	20,216
	EXISTING FACILITIES, EFP2143 - Greenlight Energy Co	131,058
<b>Green Mountain Electric Supply, Inc.</b>	<200KW PV, NY-Sun	57,604
<b>Green Options Buffalo</b>	CLEAN TRANSPORTATION, Complete Streets Evaluation	4,604
<b>Green Power Solutions, Inc.</b>	<200KW PV, NY-Sun	13,359
	<200KW PV, RES-NewConst(no longer in use)	2,766
<b>Green Street Power Partners LLC</b>	<200KW PV, NY-Sun	194,082
<b>GreenLogic, LLC</b>	<200KW PV, NY-Sun	189,821
<b>Greenwood Dairy Farm, LLC</b>	ANAEROBIC DIGESTER, RPS CST ADG to Electricity Pro	34,977
	NEW CONSTRUCTION PROGRAM, RPS CST ADG to Electricity Pro	34,977
<b>Gregory C. Schantz</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	9,151
<b>Grenadier Realty Corp.</b>	COMBINED HEAT AND POWER, On-Site Power	145,302
<b>Grid City Electric Corp</b>	<200KW PV, NY-Sun	132,759
<b>Groom Energy Solutions</b>	EXISTING FACILITIES, EFP2519 - Groom Energy Solutio	280,931
<b>Group-S LLC</b>	EXISTING FACILITIES, EFP1805-Group S LCC dba En Pow	87,463
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	162,150

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Grubb & Ellis Management Services, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Existing Facilities Program	26,015
H.P. Hood, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	381,860
H/R Tech Residential LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	52,800
Habitat for Humanity (Capital District)	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	26,000
Halcyon, Inc.	<200KW PV, NY Sun	15,210
	<200KW PV, NY-Sun	10,920
Hamilton-Fulton-Montgomery BOCES	WORKFORCE DEVELOPMENT, Clean Energy Training for HS	37,269
Hanna Family LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	43,000
Hanna Properties LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	217,000
Hanna-Haddon Hall LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	76,000
Happy Bee Heirloom Farm	AGRICULTURE ENERGY EFFICIENCY, Pre-Enc	223
Harmony Auto Service Inc.	FUEL NY, GSP00699 - Harmony Auto Servic	10,000
Harris Beach PLLC	NYSERDA ADMINISTRATION, Outside Counsel	6,095
	SARATOGA TECHNOLOGY & ENERGY PARK, Outside Counsel	1,417
	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Outside ..	4,872
Harrison Solar, LLC	NY-SUN, LTF Westchester Solar	114,024
Harvest Power, LLC	<200KW PV, NY Sun	56,411
	<200KW PV, NY-Sun	51,508
Haus Enterprises, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	6,834
Hazen & Sawyer, P.C.	ENVIRONMENTAL RESEARCH, Climate & algal blooms	9,336
	OTHER PROGRAM AREA, Deammonification at 26th Ward	57,986
Health Research, Inc.	RENEWABLE HEAT NY, Ultrafine Particle Emissions	13,170
Healthy Home Energy & Consulting, Inc.	<200KW PV, NY-Sun	5,600
Helix Power Corporation	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	62,445
Hempstead Village Housing Associates, L.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	19,200
HEVO Inc.	CLEAN TRANSPORTATION, Advanced Transportation Tech	24,854
HFC Hudson Fisonic Corp	ADVANCED BUILDINGS, Development of Fisonic Device	29,500
High Falls Operating Co, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	650,000
High Peaks Solar	<200KW PV, NY Sun	6,496
	<200KW PV, NY-Sun	49,360
	<200KW PV, RES-NewConst(no longer in use)	7,150
High Tech Rochester Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, NYSERDA..	245,857
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-C..	696,250
Highbridge Community Development Corpora	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	24,000
Highbridge Community Housing Development	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	36,600
Hillside Associates of Albany LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	56,000
Hines 1045 Avenue of the Americas Joint	NEW CONSTRUCTION PROGRAM, NCP10584 - 1045 Ave of Ameri..	180,692
Hitachi Consulting Corporation	SMART GRID SYSTEMS, City of White Plains, NY Prize	15,913
Hobart and William Smith Colleges	NEW CONSTRUCTION PROGRAM, NCP10690 - Hobarts & Smith P..	159,566
Hoffman Development Corporation	EXISTING FACILITIES, EFP2411 - GexPro - Hoffman Car	39,974
Holland & Knight LLP	LARGE SCALE RENEWABLES, RFP 3300 Outside Counsel Servi	128,060
	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	11,890
	NYSERDA ADMINISTRATION, RFP 3300 Outside Counsel Servi	85,355
	ZEC:CES ZEC Pgm Non-Rec Exp, RFP 3300 Outside Counsel Servi	28,781
Hollingsworth & Vose Company	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	115,155
Home for Harlem Dowling Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	55,354
Home HeadQuarters, Inc.	CLEANER GREENER COMMUNITIES, CGC38740 - Home Headqua..	9,999
Home Innovation Research Labs, Inc.	ADVANCED BUILDINGS, Extended Plate & Beam Wall Sys	15,000
Homes for New Yorkers, Inc	GREEN AFFORDABLE HOUSING, Multifamily	2,186
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	45,703

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<b>Honeywell International Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, QA Serv..	17,664
	ASSISTED NEW YORK ENERGY STAR HOMES, QA Services HPw..	0
	EMPOWER NY, Program Implementation Service	555,074
	Home Perf w Energy Star, Program Implementation Service	1,386,810
	Home Perf w Energy Star, QA Services HPwES and NYESH	267,251
	HOME PERFORMANCE WITH ENERGY STAR, QA Services HPwE..	11,357
	NEW YORK ENERGY STAR HOMES, QA Services HPwES and NYE..	0
	OTHER PROGRAM AREA, QA Services HPwES and NYESH	0
	RENEWABLE HEAT NY, RHNY Pellet Stove QA Services	1,555
<b>Hoosick Falls Central School District</b>	OTHER PROGRAM AREA, Equipment Purchase from HFCSD	126,100
<b>Hope Community, Inc.</b>	GREEN AFFORDABLE HOUSING, Multifamily	1,507
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	73,528
<b>Housing Visions Consultants, Inc.</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	345,000
<b>Howard Wind LLC</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	138,010
	LARGE SCALE RENEWABLES, Howard Wind Farm	1,183,070
	LARGE SCALE RENEWABLES, Howard Wind Farm - Expansion	164,759
<b>Hudson Metropolitan LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	15,000
<b>Hudson Solar</b>	<200KW PV, NY Sun	41,168
	<200KW PV, NY-Sun	148,028
	NY-SUN, New York Sun Competitive PV Pr	44,298
	NY-SUN, PV System at Watchtower Bible	65,820
<b>Hughes Motor Corp.</b>	FUEL NY, GSP00476 - Hughes Motors Corp.	13,000
<b>Hunts Point Apartments LP</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	37,125
<b>Hyatt Corporation as agent for Hyatt Equ</b>	EXISTING FACILITIES, EFP2363 - Grand Hyatt New York	364,126
<b>Hydronic Specialty Supply</b>	ADVANCED BUILDINGS, Logwood Boiler Res & Com. App	17,500
	ENVIRONMENTAL RESEARCH, Logwood Boiler Res & Com. App	25,000
	RENEWABLE HEAT NY, Smart Thermal Storage System	40,000
<b>Hyland Facility Associates</b>	LARGE SCALE RENEWABLES, RFP 2226-RPS Purchase of RE At	211,457
<b>i3 Electronics, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,305,096
<b>I-Square, LLC</b>	CLEANER GREENER COMMUNITIES, CGC32476 - I-Square	403,817
<b>IBC Engineering PC</b>	Flexible Tech Assistance, FlexTech Consultant Selection	15,550
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	183,636
<b>Iberdrola Renewables Inc.</b>	LARGE SCALE RENEWABLES, Hardscrabble Wind Energy	801,886
	LARGE SCALE RENEWABLES, Hardscrabble Wind Power LLC	947,453
<b>IBM Corporation</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	80,208
<b>ICF Jones &amp; Stokes</b>	ENVIRONMENTAL RESEARCH, NYS Energy Research and Develo	37,941
<b>ICF Resources, LLC</b>	ADVANCED BUILDINGS, Flex Energy Tech Analysis 2	54,315
	ADVANCED ENERGY CODES, ECode Microsite	11,389
	ENERGY ANALYSIS, Flex Energy Tech Analysis 2	169,805
	EVALUATION, Eco. & Env. Impact Evaluation	32,436
	EXISTING FACILITIES, Technical Review and Program S	20,990
<b>IGS Ventures, Inc.</b>	NY-SUN, PV@ Church of the Gateway	99,491
<b>Industrial Economics, Incorporated</b>	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	45,244
	EVALUATION, Evaluation Contractor for T&MD	991,282
	SMART GRID SYSTEMS, Flex Energy Tech Analysis 2	9,600
<b>Infinity Solar Systems, LLC</b>	<200KW PV, NY Sun	5,628
	<200KW PV, NY-Sun	36,224
<b>Innovative Energy Systems, LLC</b>	LARGE SCALE RENEWABLES, DANC LFGE	266,786
<b>Innoventive Power, LLC</b>	EXISTING FACILITIES, PON1219EE5	150,840
<b>Institute for Building Technology and Sa</b>	ADVANCED ENERGY CODES, Energy Code Training: EPros	207,711

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<b>Integral Building &amp; Design, Inc.</b>	ADVANCED BUILDINGS, RetroFitting for Resiliency	78,710
<b>IntelliGen Power Systems, LLC</b>	COMBINED HEAT AND POWER, CHPA - 4C Foods	217,800
	COMBINED HEAT AND POWER, CHPA - AVA High Line	221,000
<b>Intelligent Green Solutions</b>	RENEWABLE THERMAL, NY-Sun	241,143
	RENEWABLE THERMAL, PV Incentive Program	24,479
	RENEWABLE THERMAL, Renewable Heating & Cooling	2,468,302
<b>International Business Machines,</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	89,532
<b>International Electronic Machines Corp.,</b>	CLEAN TRANSPORTATION, Noncontact Elect. Wheel Gauge	35,868
	CLEAN TRANSPORTATION, Optical Wheel Flaw Detection	58,324
	CLEAN TRANSPORTATION, WISE Wheel Profile Demo	7,065
<b>International Imaging Materials, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	22,829
<b>Interstate Renewable Energy Council, Inc</b>	WORKFORCE DEVELOPMENT, Implementation Support for WFD	28,214
<b>Intertek Testing Services</b>	CLEAN TRANSPORTATION, Wind Test Center	153,670
<b>Irving Tissue, Inc</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	28,526
<b>Islip Resource Recovery Agency</b>	CLEANER GREENER COMMUNITIES, CGC31134 - IRRA	50,000
<b>Ithaca Beer Company</b>	NEW CONSTRUCTION PROGRAM, NCP12808 - Ithaca Beer	11,370
<b>Ithaca Carshare, Inc.</b>	CLEAN TRANSPORTATION, Low-Carbon Travel Choices	76,652
<b>Ithaca College</b>	ADVANCED BUILDINGS, Contractor-Led Social Marketin	9,000
<b>Ithaca Hotels LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12138-Holiday Inn Exp-OF..	11,105
<b>Ithaca Neighborhood Housing Services, In</b>	CLEANER GREENER COMMUNITIES, CGC52863 - Ithaca NHS	200
<b>Ivy Lea Construction</b>	NEW CONSTRUCTION PROGRAM, NCP12961 - IvyLeaConstruction	6,467
<b>J P Morgan Chase Bank</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	119,996
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	294,449
<b>J Sarna D Rosen Et Al</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	110,950
<b>J. Feil and M. Bernstein Et Al</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	285,000
<b>Jamie L. Corts</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	11,500
<b>Jefferson Community College</b>	NEW CONSTRUCTION PROGRAM, NCP12178 - SUNY Jefferson C..	68,781
<b>Jeffrey L Kinzler</b>	CLEAN TRANSPORTATION, Urban Intermodal Freight Sys	37,972
<b>Jewish Community Center</b>	NEW CONSTRUCTION PROGRAM, NCP12455 - JCC Pool and Fitn..	7,445
<b>JJ Fort Collins LLC</b>	NEW CONSTRUCTION PROGRAM, NCP13070 - Fed Ex	0
<b>John Siegenthaler</b>	WORKFORCE DEVELOPMENT, RFP 3165 Hydronic System Desig	4,940
<b>John W.Danforth Co, Inc.</b>	EXISTING FACILITIES, EFP2176-John Danforth - Monroe	249,637
<b>Josh Packaging</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	236,000
<b>Joule Assets Inc</b>	CLEANER GREENER COMMUNITIES, CGC57954 - Joule Assets	25
<b>Kallen &amp; Lemelson Consulting Engineers,</b>	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	7,731
<b>Kapsch TrafficCom Transportation NA Inc.</b>	CLEAN TRANSPORTATION, Corporate Name Change	68,279
<b>Karpman Consulting, LLC</b>	Commercial New Construc, Model Quality Assurance for NC	15,370
	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	79,609
<b>Kasselman Solar LLC</b>	<200KW PV, NY Sun	74,724
	<200KW PV, NY-Sun	97,046
<b>Katonah Lewisboro UFSD</b>	EXISTING FACILITIES, EFP2452-Katonah-Lewisboro Scho	0
<b>Keith Owner, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	147,725
<b>Kelleher Samets Volk</b>	Multifam Performance Pgm, Marketing Support for NYSERDA	15,750
	NY-SUN, Marketing Support for NYSERDA	68,130
	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	7,965
<b>Kelly Owner, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	143,450
<b>KEMA Incorporated</b>	ADVANCED BUILDINGS, Self-Optimizing NYS Customers	2,891
<b>Kenmore Mercy Hospital</b>	NEW CONSTRUCTION PROGRAM, NCP11713 - Kenmore Mercy H..	4,715
<b>Keuka College</b>	NEW CONSTRUCTION PROGRAM, NCP12601 - Keuka Commons-..	5,645
<b>Kilowatt Engineering, Inc.</b>	EXISTING FACILITIES, Technical Review and Program S	5,244

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Kilowatt Engineering, Inc.</b>	Industrial Process Effic, Technical Review and Program S	5,234
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	4,645
<b>Kilowatt Financial, LLC</b>	<200KW PV, NY-Sun	5,963
<b>Kingston Limited Partnership</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	115,900
<b>KLD Engineering, P.C.</b>	CLEAN TRANSPORTATION, Connected Eco-Driving Tech	31,611
	CLEAN TRANSPORTATION, Transportation Resiliency	21,214
<b>Knollcrest Apartment Associate, L.P.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	63,000
<b>Kool-Temp Heating &amp; Cooling</b>	<200KW PV, NY Sun	8,704
<b>L&amp;D Acquisition LLC</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	80,736
<b>L&amp;S Energy Services, Inc.</b>	>200KW PV, Technical Review and Program S	22,689
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	60,000
	COMBINED HEAT AND POWER, Technical Review and Program S	24,750
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	5,725
	EXISTING FACILITIES, .	1,727
	EXISTING FACILITIES, Technical Review and Program S	12,135
	Flexible Tech Assistance, Technical Review and Program S	25,812
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	13,508
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	188,302
	GJGNY REVOLVING LOAN FUND, L&S Energy Services, Inc.	189,920
	Industrial Process Effic, Technical Review and Program S	23,521
	INDUSTRIAL PROCESS EFFICIENCY, .	15,523
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	40,370
	NEW CONSTRUCTION PROGRAM, L&S-Energy Modeling Partner	21,490
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services.	42,842
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	1,684
RENEWABLE HEAT NY, Technical Review and Program S	2,249	
REV CAMPUS CHALLENGE, Technical Review and Program S	2,312	
<b>LaBella Associates, P.C.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	17,555
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	14,419
	EXISTING FACILITIES, IPE Incentive	835
	EXISTING FACILITIES, Technical Review and Program S	880
	Flexible Tech Assistance, FlexTech Consultant Selection	20,187
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	1,354
	GJGNY REVOLVING LOAN FUND, Technical Review and Program S	1,045
	Industrial Process Effic, Technical Review and Program S	651
INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	9,082	
<b>Laertes Solar, LLC</b>	NY-SUN, Cornell - Harford	408,169
<b>Lake Beverage Corporation</b>	NY-SUN, Commercial/Industrial	51,808
<b>Lakeview Mental Health Services, Inc.</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	151,000
<b>Lamont Financial Services Corporation</b>	GJGNY REVOLVING LOAN FUND, Office of the Treasurer	2,625
	NEW YORK GREEN BANK, Green Bank	1,188
<b>Lamoree Acres LLC</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	1,097
<b>Lantern Organization Inc.</b>	GREEN AFFORDABLE HOUSING, Multifamily	41,229
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	0
<b>Latta Northtowne LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	50,000
<b>Lawrence Berkeley National Laboratory</b>	ADVANCED BUILDINGS, Advanced Buildings Technology	43,882
<b>LC DRives</b>	CLEAN TRANSPORTATION, Advanced Transportation Tech	36,659
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Wind Turbi..	264
	OTHER PROGRAM AREA, Advanced Transportation Tech	250,000
<b>Lecesse Construction Services</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	69,000



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<b>LED Specialists</b>	ADVANCED BUILDINGS, Advanced Buildings Technology	54,145
<b>Level Solar Inc.</b>	<200KW PV, NY-Sun	5,244
<b>Leviton Manufacturing Co, Inc.</b>	CLEAN TRANSPORTATION, Electric Vehicle Supply Equipm	10,549
<b>Lewis Custom Homes, Inc.</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	60,000
<b>Lockheed Martin Corporation</b>	MARKET PATHWAYS, Products Program	100,293
	NYSERDA ADMINISTRATION, Hotline & Fulfillment 2016	42,498
	OTHER PROGRAM AREA, Products Program	10,281
	STATEWIDE RESIDENTIAL POINT OF SALE, Products Program	33,020
<b>Lockheed Martin Missions System</b>	SMART GRID SYSTEMS, EPTD Smart Grid Program	520,670
<b>Loeb &amp; Loeb LLP</b>	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	132,899
<b>Long Island High Technology Incubator</b>	CLEAN TRANSPORTATION, Clean Energy Business Incubato	140,000
<b>Long Island Power Authority</b>	NY-SUN, LIPA MOU RGGI Compliance Progr	30,600,000
<b>Long Island Progressive Coalition</b>	GJGNY REVOLVING LOAN FUND, GJGNY Outreach CBO	160,324
<b>Long Pond Garden Apartments LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	110,000
<b>Lori Morrison</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	9,000
<b>Lotus Energy, Inc.</b>	<200KW PV, NY Sun	20,607
	<200KW PV, NY-Sun	25,259
<b>Luthin Associates, Inc.</b>	EXISTING FACILITIES, C&I Buildings Outreach	102,086
	REV CAMPUS CHALLENGE, C&I Buildings Outreach	16,280
<b>Lynns Place Housing Development Fund Com</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	27,600
<b>M &amp; A Holding of CNY LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12879 - The Gardens Assis..	20,365
<b>M.J. Bradley &amp; Associates</b>	CLEAN TRANSPORTATION, BCA of EV grid impacts	11,559
<b>M/E Engineering, P.C.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	15,000
	Commercial New Construc, M/E - EMP	6,593
	Flexible Tech Assistance, FlexTech Consultant Selection	119,756
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	73,143
	Industrial Process Effic, Technical Review and Program S	7,225
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	5,030
	NEW CONSTRUCTION PROGRAM, M/E - EMP	4,615
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	11,590
	OTHER PROGRAM AREA, FlexTech Consultant Selection	73,143
<b>Malcolm Pirnie, Inc.</b>	COMBINED HEAT AND POWER, EFP Task Work Orders	5,844
	EXISTING FACILITIES, EFP Task Work Orders	2,161
	INDUSTRIAL PROCESS EFFICIENCY, EFP Task Work Orders	766
<b>Malta Development Company Inc</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	11,000
<b>Maple West 25th Owner LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11975 - 119 West 25th Stree	71,764
<b>Marble River Wind Farm LLC</b>	LARGE SCALE RENEWABLES, Marble River Wind Farm	5,153,660
<b>Marsh Hill Energy, LLC</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	1,012,319
<b>Marshall &amp; Sterling, Inc.</b>	NYSERDA ADMINISTRATION, Property Liability and Other	49,976
<b>Marshall Farms Group, LTD</b>	NY-SUN, PV System at Marshall Farms	61,916
<b>Matis, Bruce</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	6,274
<b>Max Solar Inc</b>	<200KW PV, NY Sun	7,480
	<200KW PV, NY-Sun	5,160
<b>Mayer Bros. Apple Products, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	39,903
<b>McWane, Inc</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	91,760
<b>Mechanical Solutions, Inc.</b>	ADVANCED BUILDINGS, Super Charger for Cold Climate	0
<b>MEG Control Products, LLC</b>	ADVANCED BUILDINGS, Demo of Solid-State lighting	25,000
<b>Meister Consultants Group, Inc.</b>	COMMUNITY SOLAR, NY-SUN PVBOS Training and Educ	960
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	50,516
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Inventory ..	136,077

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Meister Consultants Group, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Renewabl..	304,263
	NY-SUN, NY-SUN PVBOS Training and Educ	0
	REV CAMPUS CHALLENGE, REV CC - Meister CG	0
	WORKFORCE DEVELOPMENT, NY-SUN PVBOS Training and Educ	531,519
<b>Mesa Bioenergy Supply, LLC</b>	RENEWABLE HEAT NY, Biomass Drying Demo	39,100
<b>Metal Container Corp.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	213,548
<b>Metropool, Inc.</b>	CLEAN TRANSPORTATION, Tri-Cities Mobility Challenge	134,571
<b>Micatu, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	95,156
	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	300,000
	SMART GRID SYSTEMS, EPTD Smart Grid Round 2	1,169,007
<b>Michael Leuze</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	91,963
<b>MicroGen Systems, Inc.</b>	CLEAN TRANSPORTATION, Self powered TPMS	74,126
<b>Midway Fire District</b>	NEW CONSTRUCTION PROGRAM, NCP13161 - New Midway Fire ..	10,280
<b>mindSHIFT Technologies, Inc.</b>	NYSERDA ADMINISTRATION, Website Development	139,375
<b>Mission Hills Construction, LLC</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	241,000
<b>MJJ Builders Corp</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	205,000
<b>MJW Technical Services, Inc.</b>	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection S..	371,815
<b>MMT Cattle Inc</b>	AGRICULTURE ENERGY EFFICIENCY, AEEP - Pre Enc	5,928
<b>Mobile Fleet Inc</b>	CLEAN TRANSPORTATION, Battery-based Anti-Idling Sys.	20,701
<b>Molloy College</b>	CLEANER GREENER COMMUNITIES, CGC42044 - Molloy College	312,289
<b>Monolith Solar Associates, LLC</b>	<200KW PV, NY Sun	35,796
	<200KW PV, NY-Sun	945,531
	<200KW PV, RES-NewConst(no longer in use)	2,201,696
<b>Monroe County</b>	NEW CONSTRUCTION PROGRAM, NCP12092 - Monroe County Fle..	23,625
<b>Montefiore Medical Center</b>	INDUSTRIAL PROCESS EFFICIENCY, Existing Facilities IPE 3	122,793
<b>Morgan Titus LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	83,000
<b>Morton Salt Inc</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,071,531
<b>Mount Sinai Medical Center</b>	EXISTING FACILITIES, EFP2394 - Mount Sinai Medical	746,523
	NEW CONSTRUCTION PROGRAM, NCP12657 - 236 East 85th Stree	28,370
<b>Move Systems, Inc.</b>	CLEAN TRANSPORTATION, food truck charging pedestal	2,668
<b>Municipal Housing Authority of the City</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	230,905
<b>NanoAnalytics Inc.</b>	RENEWABLE HEAT NY, Wood combustion nanoparticles	27,916
<b>Natale Builders</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	9,000
<b>Nathaniel General Contractors</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	150,000
<b>National Energy Cost Services Inc</b>	ADVANCED BUILDINGS, Existing Facilities Program -	56,800
	EXISTING FACILITIES, Existing Facilities Program -	178,400
<b>National Oilheat Research Alliance</b>	ADVANCED BUILDINGS, Tankless Coil Boilers	4,622
<b>National Oilheat Research Alliance dba</b>	ADVANCED BUILDINGS, Technology & BusinesInnovation	1,371
<b>NationalGrid Energy Management, LLC</b>	<200KW PV, NY-Sun	53,722
	NY-SUN, New York Sun Competitive PV Pr	126,153
<b>Natlew Corp.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	23,000
<b>Natural History Museum of the Adirondack</b>	ADVANCED BUILDINGS, Retrofit Hi-Eff Wood Heat Sys	5,730
	ENVIRONMENTAL RESEARCH, Retrofit Hi-Eff Wood Heat Sys	36,570
<b>Navigant Consulting Inc.</b>	REV Connect, REV Connect	343,004
<b>NBC Universal LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	117,174
<b>NECEC Institute</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cleantech ..	12,000
<b>Neighborhood Housing Services of Jamaica</b>	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	0
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	60,720
<b>Neighborhood Housing Services Staten Isl</b>	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	49,237
<b>NESCAUM</b>	CLEAN TRANSPORTATION, Multi-State ZEV Collaborative:	50,000

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<b>NESCAUM</b>	ENVIRONMENTAL RESEARCH, Performance of Biomass-fired	27,090
	RENEWABLE HEAT NY, Mobile Woodsmoke PM Monitoring	15,568
	RENEWABLE HEAT NY, Next Gen Test Methods Research	65,409
	RENEWABLE HEAT NY, Wood Pellet Standard	67,875
<b>New Buildings Institute, Inc.</b>	ADVANCED ENERGY CODES, NYStretch	24,206
<b>New England Waste Services of NY Inc.</b>	LARGE SCALE RENEWABLES, Clinton Co. Landfill	109,806
<b>New Hope View Farm</b>	ANAEROBIC DIGESTER, PON 2684 - RPS CST ADG-to-Elec	278,455
<b>New West Technologies, LLC.</b>	CLEAN TRANSPORTATION, ADVANCED TRANSPORTATION TEC..	-9,591
	CLEAN TRANSPORTATION, Elect Refrig Transp Network	-17,277
	CLEAN TRANSPORTATION, Hybrid Thermal Energy Storage	-520
	CLEAN TRANSPORTATION, Integrating Mobility Strategie	-23,442
	CLEAN TRANSPORTATION, Thermal Energy Storage for Ele	-22,304
<b>New York Academy of Sciences</b>	EVALUATION, Innovation and Business Develo	0
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Innovation..	8,495
	OTHER PROGRAM AREA, Innovation and Business Develo	0
<b>New York Container Terminal, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	170,946
<b>New York Power Authority</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSERDA-N..	457,930
	RENEWABLES & DER INTEGRATION, EPTD Smart Grid Program	580,000
<b>New York Power Authority,</b>	SMART GRID SYSTEMS, ImpDynamic Perf of NY Pwr Grid	10,000
<b>New York Presbyterian Hospital</b>	EXISTING FACILITIES, EFP1936-New York Presbyterian	34,388
	EXISTING FACILITIES, EFP2196 - New York Presbyteria	231,677
<b>New York Restoration Project</b>	GREENING THE BRONX, Greening The Bronx	76,611
<b>New York Solar Solutions LLC</b>	<200KW PV, NY-Sun	5,000
<b>New York State Marine</b>	CLEAN TRANSPORTATION, NYS Canal Marine Freight	13,583
<b>New York State Solar Farm Inc.</b>	<200KW PV, NY Sun	19,508
	<200KW PV, NY-Sun	37,070
<b>New York University</b>	EXISTING FACILITIES, EFP0089 - NYU	51,310
	EXISTING FACILITIES, EFP1763 - NYU College of Denti	87,000
	EXISTING FACILITIES, EFP1979 - New York University;	57,924
<b>Newport Ventures, Inc.</b>	ADVANCED ENERGY CODES, Energy Code Training	218,700
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	3,500
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	55,980
<b>Nexant, Inc.</b>	MARKET PATHWAYS, Behavioral Demonstrations Prog	31,362
<b>Nexant, Incorporated</b>	ADVANCED BUILDINGS, Technical Review and Program S	315
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	8,217
	EXISTING FACILITIES, .	15,743
	EXISTING FACILITIES, Technical Review and Program S	67,241
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	90,899
	Industrial Process Effic, Technical Review and Program S	9,184
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	5,553
<b>Nextera Energy Capital Holdings Inc</b>	NY-SUN, New York Sun Competitive PV Pr	534,088
<b>Niagara Falls Bridge Comm.</b>	NEW CONSTRUCTION PROGRAM, NCP12433 - Duty Free Shop	19,368
<b>Niagara Falls Housing Authority</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	211,000
<b>Niagara Frontier Transportation Authorit</b>	CLEAN TRANSPORTATION, Buffalo Niagara TMA	10,046
	CLEAN TRANSPORTATION, Integrated Corridor Management	30,417
<b>Niagara Wind &amp; Solar Inc.</b>	SMALL WIND, Small Wind Turbine Incentive	166,500
	SMALL WIND, Wind Turbine Incentive	427,956
<b>NIC Holding Corp</b>	FUEL NY, NYS Strategic Gasoline Reserve	243,625
<b>Nickels Energy Solutions LLC</b>	<200KW PV, NY-Sun	5,184
<b>Nite Homes HDFC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	46,000

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Nixon Peabody LLP	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	125,000
NJP Consulting Inc.	<200KW PV, NY Sun	13,120
NMR Group, Inc.	EVALUATION, General Eval Assis. Contractor	719
Noble Wethersfield Windpark, LLC	LARGE SCALE RENEWABLES, Smart Grid Syst & Dist Eng Int	2,360,914
Noresco LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	73,049
Normandeau Associates, Inc.	ENVIRONMENTAL RESEARCH, Digital Aerial Baseline Survey	431,100
Norstar Development USA, LP	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	120,000
North Queensview Homes Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	108,750
North Riverdale Merchant and Business As	CLEANER GREENER COMMUNITIES, CGC39588 - Riverdale	7,000
Northbrook New York, LLC	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	144,180
Northeast Agriculture Technology Corpora	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,283
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	5,000
Northeast Smart Energy, LLC	<200KW PV, NY-Sun	3,444
Northeast States for Coordinated Air Use	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	101,387
	ENVIRONMENTAL RESEARCH, NY climate clearinghouse	40,563
Northeast Wind Partners II LLC	LARGE SCALE RENEWABLES, Smart Grid Syst & Dist Eng Int	139,458
	LARGE SCALE RENEWABLES, Steel Winds II	383,840
Novel Approaches Solar Applications, LLC	<200KW PV, NY Sun	5,544
	<200KW PV, NY-Sun	5,544
Novus Engineering, P.C.	Flexible Tech Assistance, FlexTech Consultant Selection	12,188
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	414
	NEW CONSTRUCTION PROGRAM, Energy Modeling Partner	318
	NEW CONSTRUCTION PROGRAM, NCP TA Contract - ST10140	0
	REV CAMPUS CHALLENGE, FlexTech Consultant Selection	7,903
NRG Residential Solar Solutions, LLC	<200KW PV, NY-Sun	51,680
	<200KW PV, RES-NewConst(no longer in use)	14,710
NWPH, Inc	COMBINED HEAT AND POWER, NY Palace Hotel CHP Demo	340,000
NY Susquehanna & Western Railway	CLEAN TRANSPORTATION, PON 2982: Locomotive Idle Redu	0
NYC & Lower Hudson Valley Clean Communit	CLEAN TRANSPORTATION, Battery Lease Feasibility and	16,104
NYC Partnership Housing Dev. Fund Co.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	725,223
NYCHA III Parent Housing Development	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	37,909
NYS Economic Development Council	CLEANER GREENER COMMUNITIES, EDGE Territory 1	1,873
	CLEANER GREENER COMMUNITIES, EDGE Territory 2	1,605
NYS Labor Management Cooperation Committ	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	95,532
NYS Office of Parks, Recreation and	NEW CONSTRUCTION PROGRAM, NCP11683 - Niagara Falls State	10,905
NYU Hospital Center	COMBINED HEAT AND POWER, CHP Performance Program	600,000
	EXISTING FACILITIES, EFP CHP - NYU LMC CHP	600,000
O'Brien & Gere Engineers, Inc.	COMBINED HEAT AND POWER, FlexTech Consultant Selection	9,080
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	26,876
O'Connell Electric Company	<200KW PV, NY-Sun	79,888
Oak Hill Terrace Apartments LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	19,250
Oakvale Construction Co. Ltd.	LARGE SCALE RENEWABLES, Black Brook Hydro	9,550
Oakwood Sustainable Dairy Digester LLC	ANAEROBIC DIGESTER, RPS CST ADG-Oakwood	165,479
OLA Consulting Engineers, P.C.	Commercial New Construc, Energy Modeling Partner - OLA	13,537
	Flexible Tech Assistance, FlexTech Consultant Selection	16,416
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	27,449
	NEW CONSTRUCTION PROGRAM, NCP TA Services - OLA 20136	2,728
OLEDWorks LLC	ADVANCED BUILDINGS, OLED Panel and Luminiare	208,949
	ADVANCED BUILDINGS, White OLED Light Panels	36,722
Olin Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	270,063

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Omnicap Group, LLC</b>	GJGNY REVOLVING LOAN FUND, Financial Advisory Services	32,250
	NEW YORK GREEN BANK, Financial Advisory Services	14,000
<b>Once Again Nut Butter</b>	NEW CONSTRUCTION PROGRAM, NCP11925 - Once Again Nut Butt	9,155
<b>OnForce Solar</b>	<200KW PV, NY-Sun	5,494
	NY-SUN, New York Sun Competitive PV Pr	86,552
	NY-SUN, PV System @ Manhattan Beer Dis	99,625
	NY-SUN, PV System at ASI Specialties,	280,159
	NY-SUN, RPS CST Regional Program	80,671
<b>Onondaga Nation</b>	NEW CONSTRUCTION PROGRAM, NCP12115 - Onondaga Nation ..	7,904
<b>Ontario County</b>	NEW CONSTRUCTION PROGRAM, NCP12865 - FLCC Geneva Ca..	27,321
<b>Open Market ESCO LLC</b>	CLEANER GREENER COMMUNITIES, CGC41141 - Sibley Redev.	252,706
<b>Opinion Dynamics Corporation</b>	EVALUATION, Commercial Statewide Baseline	123,827
<b>Optimized Thermal Systems Inc.</b>	ADVANCED BUILDINGS, Energy Storage for Cooling	10,703
<b>Orange / Ulster BOCES</b>	NEW CONSTRUCTION PROGRAM, NCP11033 - OrangeUlster Boces	76,398
<b>Orange County</b>	CLEANER GREENER COMMUNITIES, CGC28315 - Orange County	161,154
<b>ORE F4 ProjectCo, LLC</b>	<200KW PV, NY Sun	10,755
	<200KW PV, NY-Sun	41,866
<b>Owego Garden Associates, LLC</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	156,000
<b>OwnSolar, LLC</b>	>200KW PV, Commercial/Industrial PV	70,103
	NY-SUN, NY-Sun	87,325
	NY-SUN, PV System @ Stewart's Shops	186,641
<b>Pace Law School</b>	CLEANER GREENER COMMUNITIES, CGC31911 - Pace Law Scho..	46,724
<b>Pace University</b>	NEW CONSTRUCTION PROGRAM, NCP12799 - Field House	27,156
<b>Pace University Energy &amp; Climate Center</b>	COMBINED HEAT AND POWER, Logistic Support for CHP	325,376
<b>Paradise Energy Solutions, LLC</b>	<200KW PV, NY Sun	55,848
	<200KW PV, NY-Sun	16,666
<b>Park City Estates Tenants Corp.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	262,250
<b>Park Lane North Owner's, Inc. c/o Marcus</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	66,950
<b>Park Monroe II Rehab HDFC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	169,800
<b>Parkadon Development LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	19,200
<b>Path Petroleum Corp.</b>	FUEL NY, GSP00783 - Path Petroleum Corp	13,000
<b>Pathfinder Engineers &amp; Architects, LLP</b>	Commercial New Construc, Pathfinder - EMP	13,315
	NEW CONSTRUCTION PROGRAM, Pathfinder - EMP	6,247
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	8,793
<b>Pathstone Corporation</b>	CLEANER GREENER COMMUNITIES, Green Jobs Green New York	60,785
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York	29,003
<b>Patterson Farms, Inc.</b>	ANAEROBIC DIGESTER, Patterson Farms Scrubber	5,133
<b>Pattersun 1.3 LLC</b>	NY-SUN, PV System @ Watchtower Bible T	323,654
<b>PatterSun NY LLC</b>	NY-SUN, PV System at Patterson Landfil	275,466
<b>Paul Smith's College</b>	ENVIRONMENTAL RESEARCH, eDNA and ADK Brooktrout	32,488
<b>PCH Energy, LLC</b>	NY-SUN, PV System @ President Containe	337,929
<b>PDJ Inc</b>	INDUSTRIAL PROCESS EFFICIENCY, DG CHP at Buyea Road Kiln	116,525
<b>Pennwood Apartments, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	22,350
<b>People United for Sustainable Housing In</b>	CLEANER GREENER COMMUNITIES, CGC42826 - PUSH	305,865
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	136,983
<b>Pepsi-Cola of the Hudson Valley</b>	NY-SUN, Commercial/Industrial	44,637
<b>Pfister Energy, Inc.</b>	<200KW PV, RES-NewConst(no longer in use)	17,375
<b>Philip Barnes Farm</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	5,150
<b>Picker Properties</b>	NY-SUN, PV System @ Nick Pak	143,090
<b>Pinnacle Athletic Campus, LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12005 - Pinnacle Athletic C	103,033

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Pitkin Apartments LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	89,000
PJM Environmental Information Services	LARGE SCALE RENEWABLES, PJM GATS Fees Payments	1,881
Polytechnic University,	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-C..	700,000
Poseidon Systems, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	2,000
PosiGen LLC	<200KW PV, NY-Sun	46,584
Post Road Associates LLC	NEW CONSTRUCTION PROGRAM, NCP12725 - 101 East Post Road	7,417
Postgraduate Center for Mental Health	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	20,000
Power Management Co., LLC	<200KW PV, NY-Sun	6,500
	EXISTING FACILITIES, EFP2640 - Power Management	24,524
PPD Partners II LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	45,461
Praxis Housing Initiatives, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	26,400
Prism Solar Technologies Inc.	CLEAN TRANSPORTATION, InnovationCap&BizDev*inactive	206,274
Promenade Global LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	318,000
Promesa Housing Development Fund Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	7,650
Pterra, LLC	DER Integration(Intrcnct), FlexTech Consultant Selection	132,350
Public Policy and Education Fund of NY	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	27,769
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	0
Purves Street Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,200
Quad Graphics, Incorporated	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	130,232
Quasar Enterprises LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	7,500
Quixotic Systems, Inc.	<200KW PV, NY-Sun	5,203
QwikSolar, LLC	<200KW PV, High Perf New Bldg(not in use)	6,075
	<200KW PV, NY Sun	40,536
	<200KW PV, NY-Sun	87,556
	<200KW PV, RES-NewConst(no longer in use)	179,820
R Roopnarine	CLEAN TRANSPORTATION, Switched Reulctance Motor	62,352
R-Display and Lighting LLC	ADVANCED BUILDINGS, Advanced Buildings Technology	130,000
	ADVANCED BUILDINGS, Lower Cost OLED Lighting	39,500
R. Edge Contracting LLC	<200KW PV, NY-Sun	90,019
Rasky Baerlein Strategic Communications	NYSERDA ADMINISTRATION, Communications Services for Re	2,692
Reading Electric Renewable, LLC	<200KW PV, RES-NewConst(no longer in use)	307,246
	NY-SUN, New York Sun Competitive PV Pr	64,786
Real Goods Energy Tech, Inc	<200KW PV, NY-Sun	8,370
Reber Rock Farm	AGRICULTURE ENERGY EFFICIENCY, AEEP - R815 Reber Rock F..	7,342
Rebuilding Homes, LLC	NEW YORK ENERGY STAR HOMES, Codes & New Construction	11,000
RED Rochester	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	14,611
ReEnergy Black River LLC	LARGE SCALE RENEWABLES, Black River Facility	5,146,812
Regeneron Pharmaceuticals Inc.	NEW CONSTRUCTION PROGRAM, NCP11169 - 42-32 Project	83,872
Regents of the University of Michigan	ENVIRONMENTAL RESEARCH, Cloudwater Chemistry	3,049
Renovus Energy, Inc.	<200KW PV, NY Sun	61,176
	<200KW PV, NY-Sun	40,886
	>200KW PV, Commercial/Industrial PV	35,230
	>200KW PV, NY Sun	46,124
Rensselaer Polytechnic Institute	ADVANCED BUILDINGS, Behavior Research & Energy Dec	36,391
	CLEAN TRANSPORTATION, High Energy Density Cathode Ma	10,194
	CLEAN TRANSPORTATION, Modular Aerial Robots	18,750
	CLEAN TRANSPORTATION, Off Hour Delivery Trusted Vend	64,806
	ENVIRONMENTAL RESEARCH, Study of LED in Controlled Env	315,541
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	25,915
	SMART GRID SYSTEMS, State Estimation Using PMUs	48,016

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Rensselaer Polytechnic Institute-LRC</b>	ADVANCED BUILDINGS, EE LED Lighting Controls	41,872
	ADVANCED BUILDINGS, Facilitating OLEDs in NYS	29,135
	ADVANCED BUILDINGS, LED Reliability Test Method	25,127
	CLEAN TRANSPORTATION, LED Roadway Lighting Demo	41,020
	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	10,080
<b>Research Foundation of CUNY</b>	CLEAN TRANSPORTATION, Freight in Complete Streets	26,884
	CLEAN TRANSPORTATION, HPTM Waterborne Transport	60,966
	CLEAN TRANSPORTATION, Implementing Ecodriving in NYS	7,098
	CLEAN TRANSPORTATION, Social media as incident mgmt	63,907
	ENVIRONMENTAL RESEARCH, Optical Assessment of CMAQ	8,000
	WORKFORCE DEVELOPMENT, Workforce Development	22,789
<b>Research Foundation of SUNY</b>	ADVANCED BUILDINGS, Warm-Water Server Cooling	30,000
	CLEAN TRANSPORTATION, Stationary Grid Scale Energy S	107
	COMBINED HEAT AND POWER, SUNY ESF Gateway CHP Demo	147,003
	ENERGY ANALYSIS, Accelerated Recovery	0
	ENVIRONMENTAL RESEARCH, Accelerated Recovery	2,216
	ENVIRONMENTAL RESEARCH, CEHA Delineation	28,143
	ENVIRONMENTAL RESEARCH, Eco. services/Env. Economics	31,984
	ENVIRONMENTAL RESEARCH, Xylose from Hot Water Extracts	6,117
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Clean Ene..	228,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ultraviolet ..	40,000
	OTHER PROGRAM AREA, Regional Economic Development	49,869
	OTHER PROGRAM AREA, Roof Integrated Light Weight P	93,391
	RENEWABLE HEAT NY, College Woodstove design team	901
	RENEWABLES & DER INTEGRATION, PV Manufacturing Consortium	340,000
WORKFORCE DEVELOPMENT, Roof Integrated Light Weight P	93,391	
<b>Research Foundation of SUNY (Buffalo)</b>	CLEAN TRANSPORTATION, InnovationCap&BizDev*inactive	90,000
	RENEWABLE HEAT NY, College Woodstove design team	26,221
<b>Research Foundation of The City</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Birnessite ..	70,515
	OTHER PROGRAM AREA, NYC Grid Ready Solar	72,576
	WORKFORCE DEVELOPMENT, NYC Grid Ready Solar	72,576
	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	42,266
	WORKFORCE DEVELOPMENT, Workforce Development and Trai	29,532
<b>Research Into Action, Inc.</b>	ADVANCED BUILDINGS, Pilot Evaluation Services	5,216
	EVALUATION, Process and Market Evaluation	103,906
	Rmve Barriers Dist Enrgy Storg, Research Into Action TWO	4,199
<b>Resource Dynamics Corp</b>	COMBINED HEAT AND POWER, PON 800: Rpt on opportunity fu	5,000
<b>Riverdale Country School</b>	NEW CONSTRUCTION PROGRAM, NCP13244 - Riverdale Country	40,418
<b>Robert C. Hassman Jr.</b>	<200KW PV, NY-Sun	1,365
<b>Robert Derector Associates</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	5,680
	MARKET PATHWAYS, CRETP - Robert Derector Associ	13,993
<b>Rochester District Heating Cooperative</b>	SMART GRID SYSTEMS, Rochester Community NY Prize	55,000
<b>Rochester Institute of Technology</b>	CLEAN TRANSPORTATION, PON 2301, RD 2: MYFLEETDEPT.co	2,165
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Innovation..	308,000
	NEW CONSTRUCTION PROGRAM, NCP12015 - RIT College of Heal	42,633
	SMART GRID SYSTEMS, EPTD Smart Grid Program	31,386
<b>Rochester Tool and Mold Inc</b>	NEW CONSTRUCTION PROGRAM, NCP14037 - Syntec Optics-OFLT	45,000
<b>Rogers Avenue Housing Development Fund C</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	24,600
<b>Rome Steel Solar, LLC</b>	NY-SUN, PV System at Rome Strip Steel	272,767
<b>Rosenblum Rubin Property Services, LLC</b>	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Man..	37,670

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Rosenblum Rubin Property Services, LLC	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mgm..	46,017
Ross Solar Group, LLC	<200KW PV, NY-Sun	80,453
	NY-SUN, 28798 RPS CST Regional Program	212,730
	NY-SUN, RPS CST Regional Program	215,030
Ruby Mountain, Inc.	CLEAN TRANSPORTATION, Biogas for Transportation	22,869
Rudin Management Co. Inc.	EXISTING FACILITIES, EFP2334 - Rudin Mgmt - 2 loca	485,266
Rural Generation & Wind (Rodney Weaver)	<200KW PV, NY-Sun	32,780
Rural Ulster Preservation Company	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	13,882
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	132,704
Rustic Village	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	680,000
Rutgers University	ENVIRONMENTAL RESEARCH, InnovationCap&BizDev*inactive	17,501
RXR Realty LLC	EXISTING FACILITIES, EFP2479 - RXR Realty - Multi	55,002
RXR SL Owner LLC	EXISTING FACILITIES, EFP2007 - RXR Realty - Starre	623,855
S&M Service Station Corp.	FUEL NY, GSP-00739 S&M Service Station	3,650
Sabosa Realty Co. LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	8,850
Safari Energy LLC	<200KW PV, NY-Sun	106,980
	<200KW PV, RES-NewConst(no longer in use)	59,240
	NY-SUN, New York Sun Competitive PV	49,173
	NY-SUN, New York Sun Competitive PV Pr	204,807
	NY-SUN, PV System @ Safari - EXR Centr	105,076
	NY-SUN, RPS CST Regional Program	63,267
SAKS Incorporated	EXISTING FACILITIES, EFP2110 - Saks 5th Avenue	86,773
Salmar Properties LLC	NEW CONSTRUCTION PROGRAM, NCP10804 - Federal Building 2	55,438
Sara Silverstone	ADVANCED BUILDINGS, Behavior Research & Energy Dec	21,000
Saratoga Hospital	NEW CONSTRUCTION PROGRAM, NCP12253 - The Saratoga Hos..	64,984
Satguru Gas Inc.	FUEL NY, GSP00687 - Satguru Gas Inc.	10,000
SAVD Solar, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Self-Aligni..	70,640
Scott Shipley	<200KW PV, NY-Sun	9,918
Sea Bright Solar, LLC	<200KW PV, NY Sun	10,627
	<200KW PV, NY-Sun	58,824
Sealing Devices Inc.	NY-SUN, New York Sun Competitive PV Pr	79,796
Sedefian Consulting	ENVIRONMENTAL RESEARCH, Modeling Deposition	29,662
Seed Renewables Inc.	<200KW PV, NY Sun	5,130
	<200KW PV, NY-Sun	6,002
Selux Corporation	RENEWABLES & DER INTEGRATION, Solar Powered LED Lighting ..	81,715
Semrock, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial & Agriculture	49,891
	INDUSTRIAL PROCESS EFFICIENCY, Resiliency & Emergency Pre..	364,351
Seneca Energy II, LLC	LARGE SCALE RENEWABLES, Ontario LFGE	239,538
	LARGE SCALE RENEWABLES, Seneca Energy	0
Seneca Strategic Consulting, LLC	CLEANER GREENER COMMUNITIES, CGC43425 -Ithaca 2030 Dist..	15,000
Sentient Corporation	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Wind Turbi..	57,646
Settlement Housing Fund, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	51,150
Seven Springs West LLC	WEST VALLEY DEVELOPMENT PROGRAM, Operations and Mainte..	97,387
Shared Mobility, Inc.	CLEAN TRANSPORTATION, Shared Mobility Network	55,731
Sheland Farms	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	54,956
Sheldon Energy, LLC	LARGE SCALE RENEWABLES, High Sheldon Wind Farm	2,516,907
Shelter Rock Builders, LLC	NEW YORK ENERGY STAR HOMES, Codes & New Construction	53,500
Silver Lining Solar	<200KW PV, NY-Sun	56,503
Site 6 DSA Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	20,000
Sive Paget & Riesel PC	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Co..	3,585



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<b>Skadden, Arps, Slate, Meagher &amp; Flom LL</b>	Green Bank Outside Legal Couns	34,340
	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	71,511
<b>Skidmore College</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Clean Tec..	65,500
<b>Skyline Solar Inc.</b>	<200KW PV, NY-Sun	6,720
<b>SL Green Management</b>	EXISTING FACILITIES, EFP2284 - SL Green Realty Corp	30,620
<b>SL Green Realty Corporation</b>	EXISTING FACILITIES, EFP2472 - SL Green - SL Green	16,761
<b>SLG 100 Park LLC</b>	EXISTING FACILITIES, EFP2283 - SL Green Realty - 42	25,582
<b>SmartCloud Inc.</b>	ADVANCED BUILDINGS, FastDR from Comm Bldgs	15,000
<b>Smith Engineering PLLC</b>	Flexible Tech Assistance, FlexTech Consultant Selection	15,231
<b>Snow Belt Housing Company, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	9,473
<b>SNT Development Company</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	80,000
<b>SoBRO Development Corporation</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	4,323
<b>Social Enterprise and Training Center</b>	WORKFORCE DEVELOPMENT, Contract reassignment	255,729
<b>Societe Generale</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	72,912
<b>Socore Energy, LLC</b>	NY-SUN, New York Sun Competitive PV Pr	157,006
<b>Solar Alchemy, Inc.</b>	<200KW PV, NY-Sun	63,880
<b>Solar Census LLC</b>	OTHER PROGRAM AREA, Remote Rooftop Shade Tool	42,915
	WORKFORCE DEVELOPMENT, Remote Rooftop Shade Tool	42,915
<b>Solar Dad and Sons Inc</b>	<200KW PV, NY-Sun	32,701
<b>Solar Development Group LLC</b>	<200KW PV, NY-Sun	15,275
<b>Solar Energy International</b>	WORKFORCE DEVELOPMENT, Workforce Development and Trai	48,095
<b>Solar Energy Systems, LLC</b>	<200KW PV, NY-Sun	28,750
	NY-SUN, RPS CST Regional Program.	545,020
<b>Solar Generation, Inc.</b>	<200KW PV, NY Sun	6,700
	<200KW PV, NY-Sun	7,049
<b>Solar Home NJ</b>	<200KW PV, NY-Sun	52,764
<b>Solar Liberty Energy Systems, Inc</b>	<200KW PV, NY Sun	8,568
	<200KW PV, NY-Sun	310,004
	NY-SUN, PV System @ SUNY New Paltz	14,775
	SMART GRID SYSTEMS, Purchase of Equipment	62,500
<b>Solar One, Inc.</b>	<200KW PV, NY Sun	6,143
	<200KW PV, NY-Sun	5,700
<b>Solar Power Company, LLC</b>	NY-SUN, Assignment agreement-3 NTPs	92,294
	NY-SUN, PV System @ PearlGreen	125,206
<b>Solar Star New York 1, LLC</b>	NY-SUN, RPS CST Regional Program	168,030
<b>SolarCity Corporation</b>	<200KW PV, NY Sun	93,437
	<200KW PV, NY-Sun	115,388
	NY-SUN, Commercial/Industrial	50,512
	NY-SUN, New York Sun Competitive PV Pr	456,761
	NY-SUN, NY-Sun	64,505
	NY-SUN, PV System at Oneida County	223,627
	NY-SUN, RPS CST Regional Program	52,874
<b>Solepoxy</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	26,094
<b>Solid Cell, Inc.</b>	CLEAN TRANSPORTATION, Commercialization of SOFC	14,700
<b>Soltage VUL 1600 Chemung LLC</b>	NY-SUN, New York Sun Competitive PV Pr	319,840
<b>Southern Tier Central Regional Planning</b>	CLEANER GREENER COMMUNITIES, CGC28019 - STCRPBD	34,000
	CLEANER GREENER COMMUNITIES, CGC40255 - Cooperative Co..	9,078
<b>Southport, L.L.C.</b>	>200KW PV, Commercial/Industrial	52,633
<b>Southridge Cooperative Section 1, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	90,000
<b>Southview Towers, L.P.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	97,500

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Specialized Packaging Radisson, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	97,348
Spencer Van Etten Central School Distric	EXISTING FACILITIES, EFP2477 - Spencer Van Etten	76,122
SS&C Technologies, Inc.	NEW YORK GREEN BANK, Fund Administration/Loan Inves	78,000
SSA Solar of NY 2 LLC	NY-SUN, NY-Sun	206,961
SSA Solar of NY, LLC	NY-SUN, Sun Competitive Program - Wil	292,452
St Tropez Condo	EXISTING FACILITIES, EFP2370 - St Tropez Condo - St	138,624
St. John Fisher College	NEW CONSTRUCTION PROGRAM, NCP12578 - SJFC Integrated Sci	10,739
St. Joseph's Hospital Health Center	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program-PON 1746	24,000
Stantec Consulting Services, Inc.	Commercial New Construc, Stantec-Energy Modeling Partne	7,166
	EXISTING FACILITIES, Technical Review and Program S	2,025
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	3,145
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	4,763
	NEW CONSTRUCTION PROGRAM, Stantec-Energy Modeling Partne	8,487
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	252
Starwood Hotels and Resorts Worldwide	EXISTING FACILITIES, EFP2136 - The Westin Hotel - 2	27,210
State University of NY @ New Platz	EXISTING FACILITIES, EFP1278 - SUNY New Paltz	29,792
	NEW CONSTRUCTION PROGRAM, NCP12606 - Service Building	12,595
Staten Island Renewable Energy Corp.	<200KW PV, NY-Sun	12,006
Staten Island University Hospital	SMART GRID SYSTEMS, City of NY, Staten Island	100,000
Steed Energy LLC	<200KW PV, NY-Sun	8,160
Steel Sun LLC	NY-SUN, PV System @ Steel Sun #1	398,930
	NY-SUN, PV System @ Steel Sun #2	398,930
Steven Winter Associates, Inc.	ADVANCED BUILDINGS, Construction Materials	15,000
	ADVANCED BUILDINGS, Linkage-Less Burner Retrofit	50,486
	ADVANCED BUILDINGS, Multifamily use of batteries	2,152
	ADVANCED BUILDINGS, Technical Review and Program S	9,128
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	66,762
	EXISTING FACILITIES, Technical Review and Program S	16,885
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	201,577
	NEW CONSTRUCTION PROGRAM, SWA - EMP	3,149
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	25,028
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	23,352
Stevens Institute of Technology	ENVIRONMENTAL RESEARCH, Storm surge modeling	0
Stewart Title Insurance Company	GJGNY REVOLVING LOAN FUND, Title Company in Support of On	327
Stewarts Shops Corp.	NEW CONSTRUCTION PROGRAM, NCP12255 - Stewarts #455 -OF..	6,920
	NEW CONSTRUCTION PROGRAM, NCP12634 - Stewarts 120 - OF..	5,761
	NEW CONSTRUCTION PROGRAM, NCP13083 - Stewarts 453-OFLT	6,304
	NEW CONSTRUCTION PROGRAM, NCP13084 - Stewarts Baldwinsvi	5,955
	NEW CONSTRUCTION PROGRAM, NCP13085 - Stewarts 162-OFLT	5,841
Stony Creek Energy LLC	LARGE SCALE RENEWABLES, Stony Creek Wind Farm	2,596,899
STR Systems NY, LLC	<200KW PV, NY-Sun	4,320
	NY-SUN, RPS CST Regional Program	91,163
Suffolk Solar Systems, Inc.	<200KW PV, NY-Sun	4,035
Sullivan Member LLC	NEW CONSTRUCTION PROGRAM, NCP11461 - 72 Sullivan St	46,838
Sun Edison, LLC	NY-SUN, On-Site Power	27,904
Sun Source Technologies	<200KW PV, NY Sun	11,680
	<200KW PV, NY-Sun	112,013
SuNation Solar Systems, Inc.	<200KW PV, NY Sun	50,954
	<200KW PV, NY-Sun	33,273
Sundog Solar, Inc.	RENEWABLE THERMAL, NY-Sun	6,431

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Sungevity Development, LLC	<200KW PV, NY-Sun	6,365
Sungevity, Inc.	<200KW PV, NY-Sun	6,630
SunPower Capital, LLC	<200KW PV, NY Sun	305,317
	<200KW PV, NY-Sun	1,164,276
	<200KW PV, RES-NewConst(no longer in use)	63,178
SunRay Power LLC	NY-SUN, RPS CST Regional Program	120,196
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY-Sun	17,992
Sunrise Solar Solutions, LLC	<200KW PV, NY Sun	9,681
	<200KW PV, NY-Sun	260,615
	<200KW PV, RES-NewConst(no longer in use)	21,280
SunRun, Inc	<200KW PV, NY Sun	127,159
	<200KW PV, NY-Sun	117,393
Sunstream Hudson I	NY-SUN, PV System @ St. Peter's Hospit	296,895
Sunstream Hudson II	NY-SUN, PV System @ Center for Disabil	296,895
Sunthru LLC	ADVANCED BUILDINGS, Advanced Buildings Technology	51,530
SUNY - ESF	ADVANCED BUILDINGS, Advanced Buildings Program	34,859
SUNY Atmospheric Science Research Ctr	RENEWABLES & DER INTEGRATION, Carbon- electrodes w/ low P..	85,737
SUNY Buffalo	ADVANCED BUILDINGS, Climate Impacts on Buildings	77,019
	ENVIRONMENTAL RESEARCH, Climate Impacts on Buildings	77,019
	NEW CONSTRUCTION PROGRAM, NCP98455 - Hayes Hall (Univers	37,862
SUNY College of Environmental Science an	ENVIRONMENTAL RESEARCH, ESF - Hao	3,330
SUNY Cortland	EXISTING FACILITIES, EFP2478-SUNY Cortland - Boiler	114,723
SUNY Fredonia	NEW CONSTRUCTION PROGRAM, NCP98492 - SUNY Fredonia Sc..	146,519
SUNY Oneonta	NEW CONSTRUCTION PROGRAM, NCP12789 -Wellness Center-O..	9,934
SUNY Research Foundation	ADVANCED BUILDINGS, Wood Pellet Heating System Dem	10,657
	ENVIRONMENTAL RESEARCH, Wood Pellet Heating System Dem	30,872
SUNY Ulster	WORKFORCE DEVELOPMENT, Training, Field Examination Ca	15,557
	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	76,518
Sure Energy, LLC	<200KW PV, NY-Sun	4,781
Sustainable Energy Advantage, LLC	ENERGY ANALYSIS, Renewable Portfolio Standard T	12,898
	LARGE SCALE RENEWABLES, Renewable Portfolio Standard T	15,490
	NYSERDA ADMINISTRATION, Renewable Portfolio Standard T	185,533
	REC:CES REC Pgm Non-Rec Exp, Large Scales Renewables Techni	22,791
	REC:CES REC System Dev Costs, Large Scales Renewables Techni	43,137
	REC:CES REC System Dev Costs, Renewable Portfolio Standard T	9,291
	RENEWABLES & DER INTEGRATION, Renewable Portfolio Standar..	871
	SMART GRID SYSTEMS, Renewable Portfolio Standard T	1,064
Sustainable Energy Developments Inc.	<200KW PV, NY Sun	157,940
	<200KW PV, NY-Sun	51,494
	NY-SUN, NY-Sun	73,485
	SMALL WIND, Wind Turbine Incentive	1,000,000
Sustainable Performance Consulting, Inc.	Commercial New Construc, Outrch and Pjct Consulting NCP	75,010
	NEW CONSTRUCTION PROGRAM, Outrch and Pjct Consulting NCP	996,303
Sustainable South Bronx Inc.	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	60,169
Susten Corp	<200KW PV, NY-Sun	6,048
Sweetwater Energy, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cellulosic ..	280,000
Syncarpha Whitehall LLC	>200KW PV, NY-Sun	197,533
	NY-SUN, NY-Sun	216,285
SyntheZyme, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Biomimeti..	40,000
Syracuse Label & Surround Printing	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	104,483

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Syracuse University</b>	ADVANCED BUILDINGS, Combinatorial Air Filter	8,562
	ADVANCED BUILDINGS, Enclosed-Aisle By-Pass Fans	50,000
	CLEAN TRANSPORTATION, Syracuse Transp Alternatives	39,489
	ENVIRONMENTAL RESEARCH, Accelerated Recovery and Envir	10
	ENVIRONMENTAL RESEARCH, Estimating Soil Weathering	25,384
	ENVIRONMENTAL RESEARCH, Marine Mercury Dynamics	67,772
	ENVIRONMENTAL RESEARCH, Monitoring of NYS fish for Hg	134,741
	ENVIRONMENTAL RESEARCH, Nutrient Dynamics in the ADKs	1,635
	SMART GRID SYSTEMS, City of Syracuse Near Westside	20,000
<b>Syracuse University Dept. of Energy &amp; C</b>	NEW CONSTRUCTION PROGRAM, NCP10143 - Dineen Hall College	41,594
<b>T.Y. Lin International</b>	ADVANCED ENERGY CODES, Energy Code Support Services	297,011
<b>Taconic Hills CSD</b>	NEW CONSTRUCTION PROGRAM, NCP12978 - Taconic Hills K12 S	7,262
<b>TAG Mechanical Systems, Inc.</b>	<200KW PV, NY-Sun	21,612
<b>Taitem Engineering, P.C.</b>	<200KW PV, NY Sun	24,559
	<200KW PV, NY-Sun	90,491
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	34,537
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	3,827
	EXISTING FACILITIES, Technical Review and Program S	8,324
	Flexible Tech Assistance, FlexTech Consultant Selection	4,646
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	5,011
	GJGNY REVOLVING LOAN FUND, Technical Review and Program S	11,623
	GREEN AFFORDABLE HOUSING, MEPP Quality Assurance Contrac	6,948
	MULTIFAMILY PERFORMANCE PROGRAM, MEPP Quality Assuran..	202,171
	NEW CONSTRUCTION PROGRAM, Taitem - EMP	1,278
NEW YORK ENERGY STAR HOMES, Technical Review and Progra..	8,203	
<b>Talen Energy Marketing, LLC</b>	LARGE SCALE RENEWABLES, Locust Ridge Wind Farm	66,912
<b>Tannery Road Solar, LLC</b>	NY-SUN, PV System at City of Rome	231,098
<b>TAYCO Enterprises Inc.</b>	FUEL NY, GSP00240 - Tayco Enterprises I	10,000
<b>Taylan V Altop</b>	FUEL NY, GSP00243 - 641 Wellwood Ave, L	10,000
<b>Tech Valley Talent, LLC</b>	NYSERDA ADMINISTRATION, Staff Augmentation	911,595
<b>TecMarket Works</b>	EVALUATION, Performance Management	45,152
<b>Tecogen</b>	COMBINED HEAT AND POWER, CHPA - Glenn Gardens	115,500
	COMBINED HEAT AND POWER, CHPA - Interfaith Medical Cent	185,130
	COMBINED HEAT AND POWER, CHPA - Rivercross Tenants Corp	251,213
	COMBINED HEAT AND POWER, CHPA - Silver Towers	59,400
	COMBINED HEAT AND POWER, CHPA - The Brevard	115,500
<b>Telx Group, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	197,585
<b>Temperature Control Specialties Co., Inc</b>	EXISTING FACILITIES, EFP0068 - HSBC Banks	104,288
<b>Temple Israel</b>	NEW CONSTRUCTION PROGRAM, NCP12676 - Temple Israel	18,719
<b>Tern Construction &amp; Development, LLC</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	133,500
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in u..	202,500
<b>TF Cubed Inc.</b>	FUEL NY, GSP00615 - TF Cubed Inc.	9,950
<b>The Bridge Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	48,283
<b>The Butterfield House, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	72,100
<b>The Cadmus Group, Inc.</b>	<200KW PV, Quality Assurance Services for	127,825
	COMMUNITY SOLAR, Quality Assurance Services for	11,872
	EVALUATION, Quality Assurance Services for	0
	NY-SUN, Quality Assurance Services for	403,423
	NY-SUN, RPS-CST Quality Assurance/Qual	31,875
	On-Site Energy Manager, RFQ 3183 The Cadmus Group Inc	20,424

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>The Cadmus Group, Inc.</b>	RENEWABLE THERMAL, Quality Assurance Services for	15,264
	Strategic Energy Manager, RFQ 3183 The Cadmus Group Inc	20,424
<b>The Coalition for Green Capital</b>	CLEAN TRANSPORTATION, State PEV fleet purchases	18,000
<b>The Community Builders, Inc.</b>	GREEN AFFORDABLE HOUSING, Multifamily	0
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	99,594
<b>The Levy Partnership, Inc.</b>	ADVANCED BUILDINGS, EIFS DEEP Retrofits	11,054
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	17,252
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	32,000
<b>The Logue Group</b>	WEST VALLEY DEVELOPMENT PROGRAM, Facilitation Services	14,441
<b>THE MORGAN GROUP</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	134,670
<b>The New York Times Company</b>	INDUSTRIAL PROCESS EFFICIENCY, IPE12115 - The New York Ti..	112,633
<b>The Newport East, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	258,300
<b>The Nightingale-Bamford School</b>	NEW CONSTRUCTION PROGRAM, NCP11514 - Nightingale Bamford	25,706
<b>The Radiant Store</b>	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Kopa	4,000
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Marc	5,835
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Sura	4,000
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Wyso	4,000
	RENEWABLE THERMAL, NY-Sun	20,712
	RENEWABLE THERMAL, Renewable Heating & Cooling	6,000
	RENEWABLE THERMAL, RES-NewConst(no longer in use)	14,270
	RENEWABLE THERMAL, Solar Thermal Incentive	22,959
	Solar Thermal, Solar Thermal Incentives	17,262
<b>The Research Foundation for the State</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Fermentati..	3,507
	RENEWABLE HEAT NY, Lignocellulosic pellets	43,690
<b>The Research Foundation of SUNY at Bing</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ultraviolet ..	50,000
<b>The Trustees of Columbia University</b>	ENVIRONMENTAL RESEARCH, Buildings Climate Adaptation	36,127
	NEW CONSTRUCTION PROGRAM, NCP10499 - New Core Lab	22,046
<b>The Webster Green Housing</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	16,400
<b>The Weidt Group, Inc.</b>	Commercial New Construc, EMP - Weidt	4,660
<b>Theodore Theodoropoulos</b>	<200KW PV, NY-Sun	2,052
<b>ThinkEco, Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	44,135
	MARKET PATHWAYS, Behavioral Demonstrations Prog	217,488
<b>Third Power LLC</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	7,939
<b>Thomas P. Lambert</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	8,000
<b>Thomas Roach</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	102,229
<b>Thornton Tomasetti, Inc.</b>	NEW CONSTRUCTION PROGRAM, Thornton Tomasetti-EMP	11,427
<b>Tiffany &amp; Co</b>	EXISTING FACILITIES, EFP/DMP2300 - Tiffany's & Co	218,039
<b>TM Montante Solar Developments, LLC</b>	<200KW PV, NY-Sun	51,409
	<200KW PV, RES-NewConst(no longer in use)	277,073
<b>Tompkins County</b>	CLEANER GREENER COMMUNITIES, CGC42165 - Tompkins County	41,022
<b>Tower 570 Company</b>	FLEXIBLE TECHNICAL ASSISTANCE, FT10499-570 Lexington Aven..	19,875
<b>Town of Amherst</b>	CLEANER GREENER COMMUNITIES, CGC42761 - Town of Amherst	75,083
<b>Town of Chester</b>	RENEWABLE HEAT NY, Biomass Steam Boiler System	91,000
<b>Town of Clarkstown</b>	CLEANER GREENER COMMUNITIES, CGC41249 - Nanuet Transit ..	60,000
<b>Town of Cortlandt</b>	CLEANER GREENER COMMUNITIES, CGC27674 - Town of Cortlan..	69,563
<b>Town of East Hampton</b>	SMART GRID SYSTEMS, Town of E. Hampton NY Prize	20,000
<b>Town of Elizabethtown</b>	COMMUNITY SOLAR, Solarize 2017	5,000
<b>Town of Marcy</b>	CLEANER GREENER COMMUNITIES, CGC41854 - Town of Marcy	66,000
<b>Town of North Hempstead</b>	SMART GRID SYSTEMS, Town of North Hempstead	80,000
<b>Town of Smithtown</b>	CLEANER GREENER COMMUNITIES, CGC39727 - Town of Smithto..	43,200

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Town of Springwater	CLEANER GREENER COMMUNITIES, CGC29614 - Town of Spring..	15,342
Town of Williamson	COMMUNITY SOLAR, Solarize 2016	5,000
TP LIC, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	74,250
Trane	EXISTING FACILITIES, EFP2598 - Trane; Keuka College	79,396
TransCore ITS LLC	CLEAN TRANSPORTATION, Green Traffic Control Cabinet	3,898
Transportation Power, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	100,000
TRC Energy Services	ADVANCED BUILDINGS, Technical Review and Program S	9,722
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	9,922
	Commercial Real Estate Ten, Technical Review and Program S	5,277
	EXISTING FACILITIES, Technical Review and Program S	70,873
	Flexible Tech Assistance, Technical Review and Program S	0
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	58,106
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	159,200
	GJGNY REVOLVING LOAN FUND, TRC - Small Commercial Energy	187,440
	GREEN AFFORDABLE HOUSING, MF Energy Perf Portfolio Imple	5,653
	Industrial Process Effic, Technical Review and Program S	6,487
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	878
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	12,875
	Multifam New Construction, MF Energy Perf Portfolio Imple	243,108
	Multifam Performance Pgm, MF Energy Perf Portfolio Imple	349,376
	MULTIFAMILY PERFORMANCE PROGRAM, MF Energy Perf Portfol..	1,151,654
	Real Time Enrgy Management, Technical Review and Program S	49,315
	RENEWABLE HEAT NY, Technical Review and Program S	45,009
	Workforce Industry Partnership, Technical Review and Program S	15,150
TRC Engineers, Inc.	GREEN AFFORDABLE HOUSING, Low/Moderate Income	8
	GREEN AFFORDABLE HOUSING, Multifamily	19
	MULTIFAMILY PERFORMANCE PROGRAM, Low/Moderate Income	262
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	35,711
Trees New York	GREENING THE BRONX, Greening The Bronx	8,767
Tri-Municipal Sewer Commission	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	43,653
Triborough Preservation LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	251,000
Trinity Heating & Air, Inc.	<200KW PV, NY Sun	23,664
	<200KW PV, NY-Sun	68,120
Trust for Conservation Innovation	ADVANCED ENERGY CODES, Energy Code Support Services	14,998
TST 405 Lexington JV, LLC	EXISTING FACILITIES, Existing Facilities Program -	14,549
U.S. Geological Survey (Troy).	ENVIRONMENTAL RESEARCH, ALTM Stream Monitoring	133,432
U.S. Green Building Council, NY Chapter	ADVANCED BUILDINGS, Improving Steam Distribution	60,000
	ADVANCED ENERGY CODES, Energy Code Training: A/Es	114,277
Ulysses Solar LLC	NY-SUN, PV System at Cornell	487,202
Umicore Technical Materials	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Thru-lays f..	118,000
Unchained Properties, LLC	CLEANER GREENER COMMUNITIES, CGC43235 - Chain Works	60,000
Union College	COMBINED HEAT AND POWER, PON2701 - CHP Program	300,000
	NEW CONSTRUCTION PROGRAM, NCP11519 - Humanities Building	19,908
Union Free School Associates, LP	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	27,000
Unique Comp Inc.	NYSERDA ADMINISTRATION, Staff Augmentation	500,783
United Renewable Energy	<200KW PV, NY Sun	65,000
United Semiconductors, LLC	ADVANCED BUILDINGS, Advanced Buildings Technology	14,700
United Talmudical Academy of Kiryas Joel	NEW CONSTRUCTION PROGRAM, NCP12359 - Uta of Kiryas Joel	50,030
United Wind Project I, LLC	SMALL WIND, Wind Turbine Incentive	796,914
United Wind, Inc.	SMALL WIND, Wind Turbine Incentive	97,699

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University of Rochester	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	165,363
	ENVIRONMENTAL RESEARCH, Performance of Biomass-fired	162,740
	EXISTING FACILITIES, EFP1977 - U of Rochester	54,013
Upstate Alternative Energy	<200KW PV, NY Sun	15,776
	<200KW PV, NY-Sun	1,318
Urban Electric Power, LLC	ADVANCED BUILDINGS, Optimization of Battery and DR	125,000
US Green Building Council, New York Cha	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	42,096
USGS National Center MS270	ENVIRONMENTAL RESEARCH, Catskills Streams Trends	9,531
USTA National Tennis Center, Inc.	EXISTING FACILITIES, EFP2458 - USTA National Tennis	492,431
Vanderstyne Motor Sales Inc	NEW CONSTRUCTION PROGRAM, NCP13068-Vanderstyne Toyota..	20,192
Varta Microbattery, Inc	CLEAN TRANSPORTATION, Advanced Battery Storage Syste	75,204
Venture Farms LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	11,109
Venture Home Solar LLC	<200KW PV, NY-Sun	34,288
Verari Financial Services, LLC	FUEL CELLS, RPS CST Fuel Cell at RIT	800,000
Verizon Corporate Services Group	EXISTING FACILITIES, EFP2122-Verizon - Verizon BMS	72,443
Verizon NY Inc.	FUEL CELLS, PON 2157 RPS CST FC Program	600,000
Verizon Sourcing LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	110,676
Vermont Energy Investment Corporation	MARKET PATHWAYS, Res Upstream HVAC Initiative	35,000
Versar, Inc	EXISTING FACILITIES, Technical Review and Program S	3,185
Viacom International, Inc.	EXISTING FACILITIES, EFP2311 - Viacom - 1515 Broadw	82,373
Vidaris, Inc.	ADVANCED ENERGY CODES, Code Manual for Design Pros	4,100
	Commercial New Construc, Vidaris - EMP	98,068
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	16,493
	NEW CONSTRUCTION PROGRAM, High Perf New Bldg(not in use)	0
	NEW CONSTRUCTION PROGRAM, Technical Assistant Services..	219,719
	NEW CONSTRUCTION PROGRAM, Vidaris - EMP	47,178
VII 444 Madison Lessee	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech - PON1746	11,375
Village of Cold Spring	CLEANER GREENER COMMUNITIES, CGC30400 - Village of Cold ..	12,312
Village of Deposit	CLEANER GREENER COMMUNITIES, CGC28581 - Village of Deposit	22,500
Village of Frankfort Electric Departmen	SMART GRID SYSTEMS, Village of Frankfort NY Prize	80,000
Village of Irvington	SMART GRID SYSTEMS, Village of Irvington NY Prize	15,488
Village of Nyack	CLEANER GREENER COMMUNITIES, CGC42087 - Village of Nyack	77,971
Village of Tupper Lake	OTHER PROGRAM AREA, Tupper Lake District Heat	50,000
Village of Wappinger Falls	NY-SUN, New York Sun Competitive PV Pr	97,208
Village of Westfield	SMART GRID SYSTEMS, NY Prize Village of Westfield	40,933
Vincents Heating and Fuel Service, LLC	CLEANER GREENER COMMUNITIES, CGC37964 - Pellet Hub	262,548
	ENVIRONMENTAL RESEARCH, Pneumatic Wood Pellet Truck	4,350
	RENEWABLE HEAT NY, Renewable Heating & Cooling	10,000
Viola Homes Inc.	<200KW PV, NY Sun	5,520
Vistex Composites, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, adv therm..	77,943
Vivint Solar	<200KW PV, NY-Sun	5,354
Vnomics Corp	CLEAN TRANSPORTATION, Truck Trip Fleet Study	42,000
Voltaic Solaire LLC	<200KW PV, NY-Sun	15,582
Vornado Office Management LP	ADVANCED BUILDINGS, EFP/DMP2276 - Vornado	200,000
	EXISTING FACILITIES, EFP/DMP2276 - Vornado	600,000
Walker Farms LLC	ANAEROBIC DIGESTER, On-Site Power	14,025
Wappingers Falls Hydroelectric, LLC	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	1,880
Warren Pinnacle Consulting, Inc.	ENVIRONMENTAL RESEARCH, SLAMM adaptation	45,461
Washington Gas Energy Systems Inc.	NY-SUN, Competitive PV Program - Macy	332,914
	NY-SUN, Competitive PV Program - Macy'	171,462

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Washington Gas Energy Systems Inc.</b>	NY-SUN, NY Sun Competitive PV Program	124,685
	NY-SUN, NY-Sun	655,223
<b>Water Environment Research Foundation</b>	ENVIRONMENTAL RESEARCH, Cofunding energy R&D projects.	84,983
<b>Wayne Finger Lakes BOCES</b>	NEW CONSTRUCTION PROGRAM, NCP11688 - WFL BOCES 2013..	31,935
<b>Waypoint Realty, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	77,568
<b>We-B-Chicken</b>	NEW CONSTRUCTION PROGRAM, NCP13046 - Popeyes - OFLT	6,105
<b>Weaver Wind Energy, LLC</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Weaver W..	94,481
<b>Webster Community Coalition for Economic</b>	CLEANER GREENER COMMUNITIES, CGC38562 - Webster Cold ..	39,000
<b>Wedgewood West Property Company</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	23,850
<b>Weeels Inc.</b>	CLEAN TRANSPORTATION, High Occupancy Taxi Rides	10,102
	CLEAN TRANSPORTATION, Traffic Data Warehouse	14,334
<b>Wegmans Food Markets, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	79,199
<b>Wendel Energy Services, LLC</b>	Flexible Tech Assistance, FlexTech Consultant Selection	20,700
<b>West Nyack Solar</b>	NY-SUN, PV System @ Town of Clarkstown	635,364
<b>Westchester Chamber Educational</b>	CLEANER GREENER COMMUNITIES, CGC26702 - WGBC	120,334
<b>Western NY &amp; PA Railroad</b>	CLEAN TRANSPORTATION, Western NY & PA RR: locomotive	0
<b>White Plains Hospital Center</b>	NEW CONSTRUCTION PROGRAM, NCP12995 - White Plains Hospit	5,880
<b>Whitney Museum</b>	NEW CONSTRUCTION PROGRAM, NCP10018 - Whitney Museum (..	45,528
<b>Whole Foods Market Group, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP98783 - Whole Foods Mark..	29,284
<b>Wildcat Solar, LLC</b>	<200KW PV, RES-NewConst(no longer in use)	1,972
<b>Willdan Energy Solutions</b>	ADVANCED BUILDINGS, C&I Outreach	0
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	9,000
	Commercial Real Estate Ten, C&I Outreach	47,508
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATI..	6,673
	EXISTING FACILITIES, C&I Outreach	3,385
	EXISTING FACILITIES, Technical Review and Program S	310,895
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	9,139
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	102,516
	Industrial Process Effic, C&I Outreach	198,981
	Industrial Process Effic, Technical Review and Program S	0
	INDUSTRIAL PROCESS EFFICIENCY, C&I Outreach	272,934
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	52,577
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	359,802
	Real Time Enrgy Management, Technical Review and Program S	0
<b>Williams Honda</b>	NEW CONSTRUCTION PROGRAM, NCP12748 - Williams Honda Sh..	26,264
<b>Wiltshire Renewable Energy Systems, LLC</b>	<200KW PV, NY-Sun	7,208
<b>Windsor Terrace HDFC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	52,000
<b>Winsor Acres</b>	AGRICULTURE ENERGY EFFICIENCY, AEEP - Pre Enc	23,222
<b>WM Group Services, LLC</b>	COMBINED HEAT AND POWER, FlexTech Consultant Selection	23,250
<b>Wolfe Landing, Llc</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	24,000
<b>Women In Need, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	10,500
<b>Woods Hill Farm LLC</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	3,860
<b>Workforce Housing Advisors MM II, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	139,000
<b>WSP Flack &amp; Kurtz, Inc.</b>	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	0
<b>WSP USA Corp.</b>	EXISTING FACILITIES, EFP0966 - Assignment Agreement	16,011
	NEW CONSTRUCTION PROGRAM, Technical Assistance NCP	0
<b>XC Associates, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Smart Win..	182,394
<b>Xerox Corp</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial & Agriculture	13,373
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	67,256
	INDUSTRIAL PROCESS EFFICIENCY, Resiliency & Emergency Pre..	22,384



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<b>Xerox Corp</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Roll2Roll ..	35,933
<b>XO Communications Services Inc</b>	INDUSTRIAL PROCESS EFFICIENCY, Pre-Encumbered	106,105
<b>You Save Green Incorporated</b>	<200KW PV, NY Sun	6,466
	<200KW PV, NY-Sun	12,827
<b>Zero Carbon Corporation</b>	<200KW PV, NY Sun	29,862
<b>ZEV Technologies, Inc.,</b>	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	7,142
	CLEAN TRANSPORTATION, Promoting Workplace Charging	9,978
<b>Zotos International, Inc.</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	22,152
<b>Grand Total</b>		211,518,973

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>1 Stop Camera &amp; Electronics Ctr</b>	EMPOWER NY, Single Family Residential	10,908
	Home Perf w Energy Star, Single Family Residential	67,830
<b>1 Stop Electronics Center, Inc.</b>	EMPOWER NY, Single Family Residential	1,525
	Home Perf w Energy Star, Single Family Residential	24,797
<b>A Johnson Home Comfort, Inc.</b>	EMPOWER NY, Single Family Residential	18,540
	Home Perf w Energy Star, Single Family Residential	137,788
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Adirondack Community Action</b>	EMPOWER NY, Single Family Residential	4,422
	Home Perf w Energy Star, Single Family Residential	5,979
	WORKFORCE DEVELOPMENT, Workforce Dev & Train	1,225
<b>ADR Home Energy Solutions LLC.</b>	EMPOWER NY, Single Family Residential	18,635
	Home Perf w Energy Star, Single Family Residential	132,606
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,050
<b>Advanced Energy Systems of NY, LLC</b>	EMPOWER NY, Single Family Residential	3,482
	Home Perf w Energy Star, Single Family Residential	29,265
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Advantage Title Agency, Inc.</b>	GJGNY REVOLVING LOAN FUND, Commercial	722
	GJGNY REVOLVING LOAN FUND, Single Family Residential	251,056
<b>Airtight Services, Inc.</b>	Home Perf w Energy Star, Single Family Residential	8,347
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	3,000
<b>Albany Community Action Partnership</b>	Home Perf w Energy Star, Single Family Residential	9,695
<b>Albany, City of,</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
<b>All Star Energy, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	500
	EMPOWER NY, Single Family Residential	104,739
	Home Perf w Energy Star, Single Family Residential	273,304
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	5,720
<b>American AWS Corp.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	1,851
	EMPOWER NY, Single Family Residential	90,642
	Home Perf w Energy Star, Single Family Residential	52,476
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	78,211
<b>Analytic Energy, LLC</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	400
	EMPOWER NY, Single Family Residential	6,794
	Home Perf w Energy Star, Single Family Residential	19,117
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	13,185
<b>Arthur C. Pakatar</b>	EMPOWER NY, Single Family Residential	7,323
	Home Perf w Energy Star, Single Family Residential	98,093
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	650
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	2,000
<b>Association for Energy Affordability, In</b>	EMPOWER NY, Single Family Residential	5,977
	Home Perf w Energy Star, Single Family Residential	8,418
<b>Association of Energy Engineers</b>	Prof & Expert Engagement, On-Site Power	250
<b>B&amp;D Stoves Inc.</b>	RENEWABLE HEAT NY, Renewable Heating & Cooling	5,000
<b>Banta Home Corp</b>	Low Rise New Construction, Codes & New Construction	3,750
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	18,500
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	13,500
<b>Barbaera Homes and Development, Inc.</b>	Low Rise New Construction, Codes & New Construction	7,500
<b>Barrett Capital Corporation</b>	GJGNY REVOLVING LOAN FUND, Products	1,044
<b>Belmonte Builders</b>	Low Rise New Construction, Codes & New Construction	6,600
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	3,000
<b>Bensol Tech LLC</b>	EMPOWER NY, Single Family Residential	17,017
	Home Perf w Energy Star, Single Family Residential	88,232

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Bensol Tech LLC</b>	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Best Fire</b>	RENEWABLE HEAT NY, Renewable Heating & Cooling	43,500
<b>Betlem Service Corporation</b>	EMPOWER NY, Single Family Residential	2,891
	Home Perf w Energy Star, Single Family Residential	20,907
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,250
<b>Better Energy Solutions Inc.</b>	EMPOWER NY, Single Family Residential	34,336
	Home Perf w Energy Star, Single Family Residential	369,471
<b>Black Cherry Services Group, Inc.</b>	Home Perf w Energy Star, Single Family Residential	8,511
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	350
	MARKET PATHWAYS, Single Family Residential	500
<b>BlueOx Corporation</b>	EMPOWER NY, Single Family Residential	738
	Home Perf w Energy Star, Single Family Residential	6,639
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	379
<b>BOC Capital Corp</b>	GJGNY REVOLVING LOAN FUND, Commercial	500
	GJGNY REVOLVING LOAN FUND, Products	4,478
<b>BPTC</b>	Low Rise New Construction, Codes & New Construction	6,900
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	19,510
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	90
<b>Breathe Easy of CNY Inc.</b>	Home Perf w Energy Star, Single Family Residential	38,786
<b>BrightHOME Energy Solutions, LLC</b>	EMPOWER NY, Single Family Residential	5,151
	Home Perf w Energy Star, Single Family Residential	143,837
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,516
<b>Brooklyn Cooperative FCU</b>	GJGNY REVOLVING LOAN FUND, Products	704
<b>Bruni &amp; Campisi Energy &amp;</b>	Home Perf w Energy Star, Single Family Residential	91,246
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	750
<b>Buffalo Energy, Inc.</b>	EMPOWER NY, Single Family Residential	143,861
	Home Perf w Energy Star, Single Family Residential	97,911
<b>Building Efficiency Resources</b>	Low Rise New Construction, Codes & New Construction	15,700
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	34,900
<b>Building Performance Consulting of NY</b>	EMPOWER NY, Single Family Residential	2,765
	Home Perf w Energy Star, Single Family Residential	8,358
<b>C&amp;R Housing Inc.</b>	EMPOWER NY, Single Family Residential	606
	Home Perf w Energy Star, Single Family Residential	6,398
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	800
<b>Calstart</b>	CLEAN TRANSPORTATION, Consumer Serv & Events Managem	3,000
<b>Capital Heat</b>	Home Perf w Energy Star, Single Family Residential	67,302
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Carbon Trust Advisory Limited</b>	ENVIRONMENTAL RESEARCH, Environmental Research	1,212
<b>Carina Construction Services LLC</b>	Low Rise New Construction, Codes & New Construction	5,000
<b>Cayuga/Seneca Community Action Agency, I</b>	EMPOWER NY, Single Family Residential	1,757
	Home Perf w Energy Star, Single Family Residential	15,130
<b>Central Heating &amp; Cooling, Inc.</b>	Home Perf w Energy Star, Single Family Residential	8,930
<b>Central Hudson Gas and Electric Corporat</b>	GJGNY REVOLVING LOAN FUND, Products	600
	GJGNY REVOLVING LOAN FUND, Single Family Residential	9,622
<b>Chautauqua Opportunities, Inc.</b>	EMPOWER NY, Single Family Residential	21,974
	Home Perf w Energy Star, Single Family Residential	16,746
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>City of Binghamton</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
<b>City of Saratoga Springs, NY</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	2,500
<b>CNY Green Energy Solutions, LLC</b>	EMPOWER NY, Single Family Residential	6,720
<b>CNY Home Tech Services</b>	EMPOWER NY, Single Family Residential	5,591

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>CNY Home Tech Services</b>	Home Perf w Energy Star, Single Family Residential	500
<b>Cohoes, City of</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	2,500
<b>Columbia Opportunities Inc.</b>	EMPOWER NY, Single Family Residential	14,634
	Home Perf w Energy Star, Single Family Residential	37,033
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,150
<b>Comfort Home Improvement</b>	Home Perf w Energy Star, Single Family Residential	5,861
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>Comfort Home Improvement - Syracuse</b>	Home Perf w Energy Star, Single Family Residential	13,383
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,000
<b>Comfort Home Improvement Co.</b>	Home Perf w Energy Star, Single Family Residential	5,255
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Commission on Economic Opportunity</b>	EMPOWER NY, Single Family Residential	13,113
	Home Perf w Energy Star, Single Family Residential	51,198
<b>Commissioner of Tax &amp; Finance</b>	Admin-General Charges	23,000,000
<b>Community Action of Orleans and Genesee</b>	EMPOWER NY, Single Family Residential	3,212
	Home Perf w Energy Star, Single Family Residential	5,049
<b>Community Action Planning Council of Jef</b>	Home Perf w Energy Star, Single Family Residential	67,798
<b>Community Development Corporation of Lon</b>	EMPOWER NY, Single Family Residential	10,587
	Home Perf w Energy Star, Single Family Residential	33,483
<b>Concord Servicing Corporation</b>	GJGNY REVOLVING LOAN FUND, Single Family Residential	532,674
	OTHER PROGRAM AREA, Products	2,797
<b>Consolidated Edison Company</b>	GJGNY REVOLVING LOAN FUND, Products	244
	GJGNY REVOLVING LOAN FUND, Single Family Residential	39,570
<b>Cornell Cooperative Ext. Dutchess County</b>	EMPOWER NY, Single Family Residential	3,500
<b>Cornell University</b>	EMPOWER NY, Single Family Residential	5,000
	ENVIRONMENTAL RESEARCH, Environmental Research	3,000
<b>Cornerstone Energy Services</b>	EMPOWER NY, Single Family Residential	4,394
	Home Perf w Energy Star, Single Family Residential	47,104
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,100
<b>Corona 9403 Inc.</b>	FUEL NY, Resiliency & Emergency Prepare	9,004
<b>Cortland County Community Action Program</b>	EMPOWER NY, Single Family Residential	2,399
	Home Perf w Energy Star, Single Family Residential	34,049
<b>Cowles Company of Northern New York, Inc</b>	EMPOWER NY, Single Family Residential	22,124
	Home Perf w Energy Star, Single Family Residential	55,338
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Crossfield Home Energy Solutions</b>	EMPOWER NY, Single Family Residential	9,445
	Home Perf w Energy Star, Single Family Residential	87,987
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,799
<b>D.A. Goudreau, Inc</b>	EMPOWER NY, Single Family Residential	8,059
	Home Perf w Energy Star, Single Family Residential	65,155
<b>Dave Feldman Heating &amp; Cooling, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	170
	Home Perf w Energy Star, Single Family Residential	24,880
	MARKET PATHWAYS, Single Family Residential	20
<b>David Homebuilders, Inc.</b>	Low Rise New Construction, Codes & New Construction	10,000
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	38,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	6,000
<b>Degraff Bloom Custom Builders, Inc.</b>	Low Rise New Construction, Codes & New Construction	3,750
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	6,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	3,000
<b>Delaware Opportunities, Inc.</b>	Home Perf w Energy Star, Single Family Residential	20,025
<b>DH Berry Inc.</b>	EMPOWER NY, Single Family Residential	8,844

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
DH Berry Inc.	Home Perf w Energy Star, Single Family Residential	15,276
Dr. Energy Saver of Hudson Valley, Inc	Home Perf w Energy Star, Single Family Residential	9,169
Drumriver Consultants, Inc.	Home Perf w Energy Star, Single Family Residential	5,474
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
EB Design Air, Inc.	Home Perf w Energy Star, Single Family Residential	7,801
Eco Heating & Cooling Inc	Home Perf w Energy Star, Single Family Residential	18,702
Economic Opportunity Program	Home Perf w Energy Star, Single Family Residential	9,911
Empire State Development Corp.	OTHER PROGRAM AREA, Admin-General Charges	30,000,000
En-Tech Associates	Home Perf w Energy Star, Single Family Residential	7,157
Energy Answers	EMPOWER NY, Single Family Residential	21,557
	Home Perf w Energy Star, Single Family Residential	70,575
Energy Conservation Specialists LLC	Home Perf w Energy Star, Single Family Residential	6,844
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
Energy Efficiency Solutions NY LLC	Home Perf w Energy Star, Single Family Residential	20,445
Energy Evolution Inc	Home Perf w Energy Star, Single Family Residential	43,842
Energy Management Solutions, LLC	Home Perf w Energy Star, Single Family Residential	74,461
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Energy Savers Inc	EMPOWER NY, Single Family Residential	12,751
	Home Perf w Energy Star, Single Family Residential	213,409
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
Energy Saving Solutions, LLC	EMPOWER NY, Single Family Residential	119,861
	Home Perf w Energy Star, Single Family Residential	66,322
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
EnergyPro Insulation, LLC	Home Perf w Energy Star, Single Family Residential	2,830
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	300
Equity Energy, LLC	Home Perf w Energy Star, Single Family Residential	2,360
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	160
Foam It Insulation, LLC	Home Perf w Energy Star, Single Family Residential	14,181
Forbes-Capretto Homes	Low Rise New Construction, Codes & New Construction	33,450
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	15,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	4,000
Fred F. Collis & Sons, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	740
	Home Perf w Energy Star, Single Family Residential	20,968
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	750
Frontier Abstract and Research Services	GJGNY REVOLVING LOAN FUND, Commercial	3,240
	GJGNY REVOLVING LOAN FUND, Single Family Residential	116,722
Fulmont Community Action Agency Inc.	EMPOWER NY, Single Family Residential	13,668
	Home Perf w Energy Star, Single Family Residential	33,336
G.W. Ehrhart, Inc.	RENEWABLE HEAT NY, Renewable Heating & Cooling	18,000
Gaia Sharbel Energy Contracting	Home Perf w Energy Star, Single Family Residential	900
	MARKET PATHWAYS, Single Family Residential	467
	RENEWABLE HEAT NY, Renewable Heating & Cooling	5,500
Gambino Insulation Inc.	Home Perf w Energy Star, Single Family Residential	5,507
Gary Boyd	EMPOWER NY, Single Family Residential	6,153
	Home Perf w Energy Star, Single Family Residential	6,785
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Gary Goodman	EMPOWER NY, Single Family Residential	13,016
	Home Perf w Energy Star, Single Family Residential	39,859
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,050
	MARKET PATHWAYS, Single Family Residential	207
	WORKFORCE DEVELOPMENT, Workforce Dev & Train	200

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Get Green Home Improvements LLC</b>	Home Perf w Energy Star, Single Family Residential	8,875
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Global Dwelling</b>	EMPOWER NY, Single Family Residential	34,463
	Home Perf w Energy Star, Single Family Residential	212,282
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,150
	RENEWABLE HEAT NY, Renewable Heating & Cooling	2,500
<b>Graves Bros.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	290
	EMPOWER NY, Single Family Residential	8,163
	Home Perf w Energy Star, Single Family Residential	152,652
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>Green Audit USA, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	16,903
	EMPOWER NY, Single Family Residential	417,383
	Home Perf w Energy Star, Single Family Residential	336,316
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	136,276
	RENEWABLE HEAT NY, Renewable Heating & Cooling	3,500
<b>Green City Force</b>	EMPOWER NY, Single Family Residential	180,877
	Home Perf w Energy Star, Single Family Residential	20,870
<b>Green Home Innovations, Inc</b>	EMPOWER NY, Single Family Residential	63,397
	Home Perf w Energy Star, Single Family Residential	29,277
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
<b>Green Home Logic, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	21
	EMPOWER NY, Single Family Residential	69,159
	Home Perf w Energy Star, Single Family Residential	131,698
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	13,132
<b>GreenHomes Long Island</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	4,034
	EMPOWER NY, Single Family Residential	60,681
	Home Perf w Energy Star, Single Family Residential	114,553
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	10,256
<b>GREENTECH Certified Energy Specialists,</b>	Home Perf w Energy Star, Single Family Residential	9,902
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	900
<b>Guaranteed Chimney Services, Inc.</b>	RENEWABLE HEAT NY, Renewable Heating & Cooling	5,500
<b>Habitat For Humanity, Schenectady County</b>	Low Rise New Construction, Codes & New Construction	3,600
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	2,500
<b>Hawn Heating &amp; Energy Services LLC</b>	EMPOWER NY, Single Family Residential	3,443
	Home Perf w Energy Star, Single Family Residential	15,980
		4,623
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,198
<b>Healthy Home Energy &amp; Consulting, Inc.</b>	Home Perf w Energy Star, Single Family Residential	75,633
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	3,312
<b>Hebrew Home for the Aged at Riverdale</b>	Green Bank	56,989
<b>Home Energy Consultants Inc.</b>	EMPOWER NY, Single Family Residential	19,731
	Home Perf w Energy Star, Single Family Residential	125,532
<b>Home Energy Performance By Halco</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	500
	EMPOWER NY, Single Family Residential	200,458
	Home Perf w Energy Star, Single Family Residential	1,882,822
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	8,852
	MARKET PATHWAYS, Single Family Residential	7,800
<b>Home Performance Professionals, Inc.</b>	EMPOWER NY, Single Family Residential	53,112
	Home Perf w Energy Star, Single Family Residential	20,403
<b>Home Performance Technologies</b>	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	16,850
<b>Home Star Energy Services, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	1,000

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Home Star Energy Services, Inc.</b>	EMPOWER NY, Single Family Residential	8,492
	Home Perf w Energy Star, Single Family Residential	16,551
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	34,733
<b>Honeywell International Inc.</b>	Home Perf w Energy Star, Single Family Residential	3,150
<b>Ian Minerve</b>	Home Perf w Energy Star, Single Family Residential	227,719
<b>Ideal Energy Solutions LLC</b>	EMPOWER NY, Single Family Residential	240,020
	Home Perf w Energy Star, Single Family Residential	155,355
<b>IGM Holdings, Inc.</b>	EMPOWER NY, Single Family Residential	37,465
	Home Perf w Energy Star, Single Family Residential	116,522
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
<b>Innovation Now, LLC</b>	Home Perf w Energy Star, Single Family Residential	16,014
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
	MARKET PATHWAYS, Single Family Residential	216
<b>Installed Building Products</b>	EMPOWER NY, Single Family Residential	249,586
	Home Perf w Energy Star, Single Family Residential	155,689
<b>Integral Building &amp; Design, Inc.</b>	Home Perf w Energy Star, Single Family Residential	1,200
	WORKFORCE DEVELOPMENT, Workforce Dev & Train	2,339
<b>Integral Partners</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	13,000
<b>Isaac Heating and Air Conditioning, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	3,789
	Home Perf w Energy Star, Single Family Residential	735,273
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	23,941
<b>Island Design and Contracting, LLC</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	305
	EMPOWER NY, Single Family Residential	22,591
	Home Perf w Energy Star, Single Family Residential	56,109
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	3,507
<b>Ivy Lea Construction</b>	EMPOWER NY, Single Family Residential	262,168
	Home Perf w Energy Star, Single Family Residential	95,051
<b>J Synergy Green Inc</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	4,492
	EMPOWER NY, Single Family Residential	50,887
	Home Perf w Energy Star, Single Family Residential	89,322
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	54,195
<b>Jagodzinski Construction, Inc</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	239
	Home Perf w Energy Star, Single Family Residential	10,664
<b>Jerritt Gluck</b>	EMPOWER NY, Single Family Residential	5,747
	Home Perf w Energy Star, Single Family Residential	1,490
<b>Joe Sampson's Plumbing &amp; Heating LLC</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	1,000
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	10,071
<b>John Betlem Heating &amp; Cooling Inc</b>	EMPOWER NY, Single Family Residential	4,359
	Home Perf w Energy Star, Single Family Residential	78,350
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,150
<b>John Blouch</b>	EMPOWER NY, Single Family Residential	6,819
	Home Perf w Energy Star, Single Family Residential	706
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>John D. Marcella Appliances, Inc</b>	EMPOWER NY, Single Family Residential	600
	Home Perf w Energy Star, Single Family Residential	17,942
<b>Joint Council of Economic Opportunity</b>	EMPOWER NY, Single Family Residential	10,262
	Home Perf w Energy Star, Single Family Residential	28,764
<b>K &amp; L Green Operations LLC</b>	EMPOWER NY, Single Family Residential	17,252
<b>Knoth Heating &amp; Mechanical</b>	EMPOWER NY, Single Family Residential	9,219
	Home Perf w Energy Star, Single Family Residential	14,324
<b>Kool-Temp Heating &amp; Cooling</b>	Home Perf w Energy Star, Single Family Residential	6,447

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Kool-Temp Heating &amp; Cooling</b>	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>Lewis County Opportunities, Inc.</b>	EMPOWER NY, Single Family Residential	6,999
	Home Perf w Energy Star, Single Family Residential	33,211
<b>Long Island Power Authority</b>	GJGNY REVOLVING LOAN FUND, Products	386
	GJGNY REVOLVING LOAN FUND, Single Family Residential	150,968
<b>Lotze Insulation Design, Inc.</b>	EMPOWER NY, Single Family Residential	49,949
	Home Perf w Energy Star, Single Family Residential	726,617
<b>Malcarne Contracting, Inc.</b>	EMPOWER NY, Single Family Residential	21,465
	Home Perf w Energy Star, Single Family Residential	90,617
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	900
<b>Malta Development Company Inc</b>	Low Rise New Construction, Codes & New Construction	6,250
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	4,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	3,000
<b>Metro NY Insulation LLC</b>	EMPOWER NY, Single Family Residential	13,059
	Home Perf w Energy Star, Single Family Residential	68,330
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Michaels Group</b>	Low Rise New Construction, Codes & New Construction	24,750
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	36,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	3,000
<b>Mid-York Chimney and Stove LLC</b>	RENEWABLE HEAT NY, Renewable Heating & Cooling	9,000
<b>Milea Truck Sales Inc</b>	CLEAN TRANSPORTATION, Clean Transportation	178,800
<b>Mohawk Valley Community Action Agency</b>	EMPOWER NY, Single Family Residential	19,367
	Home Perf w Energy Star, Single Family Residential	91,566
<b>Mondial Automotive, Inc.</b>	CLEAN TRANSPORTATION, Clean Transportation	602,900
<b>Mullarney's Garden Center</b>	RENEWABLE HEAT NY, Renewable Heating & Cooling	217,679
<b>Natale Builders</b>	Low Rise New Construction, Codes & New Construction	16,500
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	6,000
<b>National Fuel Gas Dist. Corp.</b>	EXISTING FACILITIES, Admin-General Charges	1,107,243
<b>Natural History Museum of the Adirondack</b>	Low Rise New Construction, Consumer Serv & Events Managem	1,250
<b>Neighborhood Housing Services (N.H.S) of</b>	EMPOWER NY, Single Family Residential	45,318
	Home Perf w Energy Star, Single Family Residential	17,600
<b>Neighborhood Housing Services of Rochest</b>	EMPOWER NY, Single Family Residential	12,580
	Home Perf w Energy Star, Single Family Residential	111,030
<b>New Buffalo Impact, Inc.</b>	EMPOWER NY, Single Family Residential	147,954
	Home Perf w Energy Star, Single Family Residential	95,656
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
<b>New York Business Development Corp</b>	GJGNY REVOLVING LOAN FUND, Products	750
<b>New York Conservation Services Corp</b>	EMPOWER NY, Single Family Residential	16,498
	Home Perf w Energy Star, Single Family Residential	82,983
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	750
<b>New York Geothermal Energy Organization</b>	POLICY DEVELOPMENT, Consumer Serv & Events Managem	500
<b>New York Homeowners Construction Co., LL</b>	Home Perf w Energy Star, Single Family Residential	54,235
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>New York State Foam &amp; Energy LLC</b>	Home Perf w Energy Star, Single Family Residential	10,932
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,000
<b>Niagara Mohawk Power Corporation</b>	GJGNY REVOLVING LOAN FUND, Products	404
	GJGNY REVOLVING LOAN FUND, Single Family Residential	20,210
<b>Nispen Adirondack Builders Inc</b>	EMPOWER NY, Single Family Residential	40,120
	Home Perf w Energy Star, Single Family Residential	168,959
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,937
<b>North Country Windows</b>	Home Perf w Energy Star, Single Family Residential	7,927



**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>North Country Windows</b>	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>North East Underlayments LLC</b>	Home Perf w Energy Star, Single Family Residential	10,214
<b>Northeast Home Improvement &amp; Energy Cons</b>	EMPOWER NY, Single Family Residential	3,969
	Home Perf w Energy Star, Single Family Residential	93,304
<b>Northeast Project Solutions</b>	EMPOWER NY, Single Family Residential	2,035
	Home Perf w Energy Star, Single Family Residential	174,425
<b>Nunda Farm Service Inc.</b>	RENEWABLE HEAT NY, Renewable Heating & Cooling	25,000
<b>NYS Dept. Taxation &amp; Finance</b>	ENERGY ANALYSIS, Energy & Environmental Analysis	1,000,000
<b>NYS Energy Audits, Inc.</b>	EMPOWER NY, Single Family Residential	55,705
	Home Perf w Energy Star, Single Family Residential	719,114
<b>NYSEG</b>	GJGNY REVOLVING LOAN FUND, Single Family Residential	11,557
<b>ODA Community Development Corp.</b>	EMPOWER NY, Single Family Residential	1,044
	Home Perf w Energy Star, Single Family Residential	6,189
<b>Olum's of Binghamton, Inc.</b>	EMPOWER NY, Single Family Residential	520
	Home Perf w Energy Star, Single Family Residential	26,135
<b>Opportunities for Chenango, Inc.</b>	EMPOWER NY, Single Family Residential	89,568
	Home Perf w Energy Star, Single Family Residential	44,548
<b>Opportunities for Otsego, Inc.</b>	EMPOWER NY, Single Family Residential	11,974
	Home Perf w Energy Star, Single Family Residential	74,308
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,900
<b>Orange and Rockland Utilities, Inc.</b>	GJGNY REVOLVING LOAN FUND, Single Family Residential	9,186
<b>Parkside Fuel, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	27,669
	EMPOWER NY, Single Family Residential	370,941
	Home Perf w Energy Star, Single Family Residential	187,030
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	31,269
<b>Pathstone Corporation</b>	Home Perf w Energy Star, Single Family Residential	5,846
<b>Paul Mendel, Jr.</b>	Home Perf w Energy Star, Single Family Residential	19,552
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	650
<b>PEG</b>	Low Rise New Construction, Codes & New Construction	19,700
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	800
<b>People's Equal Action &amp; Community Effort</b>	EMPOWER NY, Single Family Residential	14,321
	Home Perf w Energy Star, Single Family Residential	57,044
<b>Performance Systems Development, Inc.</b>	Low Rise New Construction, Codes & New Construction	400
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	48,600
<b>Phoenix Mechanical</b>	Home Perf w Energy Star, Single Family Residential	24,762
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Pioneer Spray Foam LLC</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	350
	EMPOWER NY, Single Family Residential	32,893
	Home Perf w Energy Star, Single Family Residential	60,300
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,634
<b>Polish Community Center of Buffalo, Inc.</b>	EMPOWER NY, Single Family Residential	10,918
	Home Perf w Energy Star, Single Family Residential	2,031
<b>Polsinello Fuels, Inc</b>	Home Perf w Energy Star, Single Family Residential	10,559
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	650
<b>Prime Time Energy Services, Inc.</b>	EMPOWER NY, Single Family Residential	83,831
	Home Perf w Energy Star, Single Family Residential	49,096
<b>Pro Action of Steuben &amp; Yates, Inc.</b>	EMPOWER NY, Single Family Residential	15,801
	Home Perf w Energy Star, Single Family Residential	23,627
<b>R. McLagan, Inc.</b>	Home Perf w Energy Star, Single Family Residential	15,925
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Radiant Drywall &amp; Insulation Corp.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	2,150

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Radiant Drywall &amp; Insulation Corp.</b>	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	9,948
<b>Regional Economic Community Action Progr</b>	EMPOWER NY, Single Family Residential	3,649
	Home Perf w Energy Star, Single Family Residential	52,293
<b>Restore the Store LLC</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	5,000
<b>RHM Inc.</b>	Home Perf w Energy Star, Single Family Residential	30,369
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Rodney Lind</b>	EMPOWER NY, Single Family Residential	3,606
	Home Perf w Energy Star, Single Family Residential	33,451
<b>Ross Seeley-Lopez</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	19,817
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	290,776
<b>Ryan Homes (Virginia)</b>	Low Rise New Construction, Codes & New Construction	277,500
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	15,000
<b>Ryan Plumbing Heating Air Conditioning</b>	Home Perf w Energy Star, Single Family Residential	50,618
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	923
<b>SANFILIPPO SOLUTIONS INC.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	860
	EMPOWER NY, Single Family Residential	8,395
	Home Perf w Energy Star, Single Family Residential	29,363
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	3,350
	MARKET PATHWAYS, Single Family Residential	1,268
	RENEWABLE HEAT NY, Renewable Heating & Cooling	4,500
<b>Saratoga Builders</b>	Low Rise New Construction, Codes & New Construction	8,750
<b>Sealed Inc.</b>	EMPOWER NY, Single Family Residential	10,223
	Home Perf w Energy Star, Single Family Residential	5,488
<b>Seneca County Weatherization</b>	EMPOWER NY, Single Family Residential	8,682
	Home Perf w Energy Star, Single Family Residential	42,318
<b>Sharp's Bulk Food Store</b>	RENEWABLE HEAT NY, Renewable Heating & Cooling	95,000
<b>Sigma Tremblay, LLC</b>	Home Perf w Energy Star, Single Family Residential	66,930
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>Sky Business Credit LLC</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	2,775
	Home Perf w Energy Star, Single Family Residential	27,451
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	59,109
<b>Snug Planet, LLC</b>	EMPOWER NY, Single Family Residential	379
	Home Perf w Energy Star, Single Family Residential	49,103
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,400
<b>Solar Energy Haus, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	380
	EMPOWER NY, Single Family Residential	7,622
	Home Perf w Energy Star, Single Family Residential	10,982
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	68,086
<b>St. Lawrence County Development Program</b>	Home Perf w Energy Star, Single Family Residential	11,536
<b>Standard Insulating Company</b>	EMPOWER NY, Single Family Residential	100,425
	Home Perf w Energy Star, Single Family Residential	589,375
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,400
<b>Steven Winter Associates, Inc.</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	14,200
<b>Stewart Title Insurance Company</b>	GJGNY REVOLVING LOAN FUND, Commercial	325
	GJGNY REVOLVING LOAN FUND, Single Family Residential	41,937
<b>Sun Dance Pool N Patio Inc.</b>	RENEWABLE HEAT NY, Renewable Heating & Cooling	61,500
<b>Sunset Park Redevelopment Comm</b>	EMPOWER NY, Single Family Residential	30,444
	Home Perf w Energy Star, Single Family Residential	22,012
<b>SUNY</b>	OTHER PROGRAM AREA, Admin-General Charges	15,000,000
<b>Superior Energy Innovations, LLC</b>	EMPOWER NY, Single Family Residential	97,187
	Home Perf w Energy Star, Single Family Residential	87,747

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Superior Energy Innovations, LLC</b>	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	3,200
<b>Superior Insulation Co., LLC</b>	EMPOWER NY, Single Family Residential	23,921
	Home Perf w Energy Star, Single Family Residential	321,619
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,500
<b>Sustainable Comfort, Inc</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	33,200
<b>Syracuse University</b>	ENVIRONMENTAL RESEARCH, Environmental Research	1,500
<b>TAG Mechanical Systems, Inc.</b>	EMPOWER NY, Single Family Residential	9,076
	Home Perf w Energy Star, Single Family Residential	30,224
<b>Taylor Heating Inc.</b>	EMPOWER NY, Single Family Residential	6,108
	Home Perf w Energy Star, Single Family Residential	99,313
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,958
<b>Terrawatt</b>	Home Perf w Energy Star, Single Family Residential	6,694
<b>The Energy Doctors</b>	EMPOWER NY, Single Family Residential	3,668
	Home Perf w Energy Star, Single Family Residential	32,720
<b>The Insulation Man LLC</b>	EMPOWER NY, Single Family Residential	1,290
	Home Perf w Energy Star, Single Family Residential	46,416
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,350
<b>The Levy Partnership, Inc.</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	1,000
<b>The Radiant Store</b>	Home Perf w Energy Star, Single Family Residential	10,099
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	RENEWABLE HEAT NY, Renewable Heating & Cooling	1,500
<b>Thermal Energy Concepts, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	2,000
	Home Perf w Energy Star, Single Family Residential	495
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	15,848
<b>Three Peaks Energy Corp.</b>	Home Perf w Energy Star, Single Family Residential	11,988
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,000
<b>Tioga Opportunities Inc.</b>	EMPOWER NY, Single Family Residential	64,980
	Home Perf w Energy Star, Single Family Residential	150,233
<b>Tompkins Community Action</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	424
	Home Perf w Energy Star, Single Family Residential	34,703
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>Town of Hempstead, Department of Conser</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
<b>Triple H Contracting, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	10,931
	EMPOWER NY, Single Family Residential	61,114
	Home Perf w Energy Star, Single Family Residential	14,583
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	110,685
<b>Troy Hodas</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	9,000
<b>TRS Heating and Air Conditioning Co., In</b>	EMPOWER NY, Single Family Residential	776
	Home Perf w Energy Star, Single Family Residential	8,187
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>True Energy Solutions</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	255
	EMPOWER NY, Single Family Residential	3,694
	Home Perf w Energy Star, Single Family Residential	83,638
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Ulster Construction Co. Inc.</b>	Home Perf w Energy Star, Single Family Residential	12,394
<b>Ulster County Community Action, Inc.</b>	EMPOWER NY, Single Family Residential	6,825
	Home Perf w Energy Star, Single Family Residential	98,606
<b>Umit Sirt</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	8,000
<b>Upstate Holding Group, LLC</b>	Home Perf w Energy Star, Single Family Residential	500
	RENEWABLE HEAT NY, Renewable Heating & Cooling	4,500
<b>Upstate Spray Foam Insulation, LLC</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	308

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Upstate Spray Foam Insulation, LLC</b>	EMPOWER NY, Single Family Residential	23,387
	Home Perf w Energy Star, Single Family Residential	110,031
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	390
<b>Vastola Heating and Cooling</b>	Home Perf w Energy Star, Single Family Residential	6,951
<b>Village of Union Springs</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
<b>Village of Westfield</b>	CLEANER GREENER COMMUNITIES, Communities & Local Government	2,500
<b>Warren/Hamilton Counties ACEO</b>	EMPOWER NY, Single Family Residential	551
	Home Perf w Energy Star, Single Family Residential	27,383
<b>Watertown Appliance and TV Center, Inc.</b>	EMPOWER NY, Single Family Residential	790
	Home Perf w Energy Star, Single Family Residential	5,929
<b>Wayne County Action Program</b>	Home Perf w Energy Star, Single Family Residential	15,821
<b>Willie Oxendine</b>	Home Perf w Energy Star, Single Family Residential	16,652
<b>Wilson Appliance</b>	EMPOWER NY, Single Family Residential	769
	Home Perf w Energy Star, Single Family Residential	4,474
<b>Wisconsin Energy Conservation Corp</b>	<200KW PV, NY-Sun	4,320
	>200KW PV, NY-Sun	18,620
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family Re..	1,487,893
	GJGNY REVOLVING LOAN FUND, Single Family Residential	550,745
	Home Perf w Energy Star, Single Family Residential	5,358,693
	RENEWABLE HEAT NY, Renewable Heating & Cooling	900
	Solar Thermal, Renewable Heating & Cooling	14,660
<b>Wise Home Energy, LLC</b>	EMPOWER NY, Single Family Residential	40,855
	Home Perf w Energy Star, Single Family Residential	294,416
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
	RENEWABLE HEAT NY, Renewable Heating & Cooling	1,500
<b>Woodbridge Construction Inc.</b>	EMPOWER NY, Single Family Residential	612
	Home Perf w Energy Star, Single Family Residential	59,767
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,650
<b>Woodstone Custom Homes, Inc.</b>	Low Rise New Construction, Codes & New Construction	12,500
	NEW YORK ENERGY STAR HOMES, Codes & New Construction	3,000
<b>Zenith Sales of Indiana</b>	CLEAN TRANSPORTATION, Clean Transportation	57,436
<b>Zenner and Ritter Inc.</b>	EMPOWER NY, Single Family Residential	7,589
	Home Perf w Energy Star, Single Family Residential	33,999
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
<b>Zerodraft of CNY - Syracuse</b>	EMPOWER NY, Single Family Residential	28,430
	Home Perf w Energy Star, Single Family Residential	312,833
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,250
<b>Zerodraft,Albany</b>	Home Perf w Energy Star, Single Family Residential	86,486
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>Grand Total</b>		100,958,111

**NYSERDA**  
**Public Authority Law Report**  
**October 1, 2016 to March 31, 2017**

**Section Break**

**Contracts Executed**  
**Period 10/1/2016 through 3/31/2017**

Contractor	Date Encumbered	Contract Description	Total Contract Amount
1st Light Energy, Inc.	11/7/2016	<200KW PV, NY-Sun	44,324
	1/30/2017	<200KW PV, NY Sun	143,575
	3/13/2017	<200KW PV, NY Sun	5,888
	3/29/2017	<200KW PV, NY Sun	5,200
	3/30/2017	<200KW PV, NY Sun	5,120
	3/31/2017	<200KW PV, NY Sun	5,760
10th Ave Petroleum LLC	2/27/2017	FUEL NY, PGI00296 - 10th Avenue Petrole	57,893
34th-10 Development, LLC	11/17/2016	NEW CONSTRUCTION PROGRAM, NCP11565 - 3410 Develo..	145,491
63 Madison Owners LLC	1/26/2017	EXISTING FACILITIES, EFP2463 - 63 Madison Owners	55,052
69th Tenant Corp	10/31/2016	EXISTING FACILITIES, EFP/DMP2263 - 69th St. Tenant	45,690
111 East 48th Street Holdings	12/1/2016	EXISTING FACILITIES, EFP2267 - 111 East 48th St	13,706
156 Perry Street, LLC	1/9/2017	Multifam New Construction, MFNCP PHIUS T3-156 Perry St	42,500
166 East 96th Street Owners Corp.	12/29/2016	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	3,500
174-02 Horace Harding Expressway Op..	10/31/2016	FUEL NY, PGI00112 - 174-02 Horace Hardi	20,304
175-33 Horace Harding Expressway Ser..	2/27/2017	FUEL NY, PGI00114 - 175-33 Horace Hardi	15,352
183 Lorraine St, LLC	1/11/2017	Flexible Tech Assistance, FlexTech Program - PON1746	17,500
205 Wolf Holdings, LLC	2/14/2017	NYSERDA ADMINISTRATION, 2017 NYSERDA All-Staff Mtg	5,000
211 Sea Foam Properties LLC	1/18/2017	Multifam New Construction, MFNCP PHI T3-211 Passive H	123,000
322 Kear LLC	1/17/2017	Low Rise New Construction, Codes & New Construction	13,000
330 Madison Avenue LLC	1/17/2017	ADVANCED BUILDINGS, EFP2216 - 330 Madison Ave LLC	70,000
355 Lexington LLC	11/4/2016	EXISTING FACILITIES, EFP2511- Rudin - 355 Lexing	63,379
401 West Shore Blvd Holdings	2/8/2017	NEW CONSTRUCTION PROGRAM, NCP12498 - NewCut Facil..	9,187
443 Gas Corp	2/24/2017	FUEL NY, PGI00111 - 443 Gas Corp.	16,140
444 River Lofts, LLC	1/6/2017	Low Rise New Construction, Codes & New Construction	55,200
	3/20/2017	Low Rise New Construction, New Construction	7,650
455 Hospitality LLC	3/31/2017	Multifam Performance Pgm, 2017 Multifamily Summit	50,000
540 Hudson Street, LLC	1/9/2017	Multifam New Construction, MFNCP PHIUS T3-540 Hudson	65,000
575 Fuel Inc	2/27/2017	FUEL NY, PGI00299 - 575 Fuel Inc.	18,691
845 Third LP	12/1/2016	EXISTING FACILITIES, EFP2512 - 845 Third L.P - 845	165,553
1020 Route 109 Corp.	2/7/2017	FUEL NY, PGI00239 - 1020 Route 109 Corp	34,825
1050 Udall Road Corp.	1/27/2017	FUEL NY, PGI00233 - 1050 Udall Road Cor	80,400
1099 Horseblock Realty LLC	10/27/2016	FUEL NY, PGI00069 - 1099 Horseblock Rea	69,089
1185 Straight Path Corp.	11/28/2016	FUEL NY, PGI00026 - 1185 Straight Path	70,064
	2/3/2017	FUEL NY, PGI00122 - 1185 Straight Path	68,661
1258 Middle Country Realty LLC	3/7/2017	FUEL NY, PGI00073 - 1258 Middle Country	90,422
4201 Webster Realty LLC	10/27/2016	FUEL NY, PGI00066 - 4201 Webster Realty	77,528
Able Electrical Services, LLC	1/12/2017	<200KW PV, NY-Sun	6,936
Abt Associates Inc.	12/14/2016	ENVIRONMENTAL RESEARCH, Community Flood Risk	167,910
AC Woodhaven Realty Corp.	10/31/2016	FUEL NY, PGI00113 - AC Woodhaven Realty	16,731
Accord Power, Inc.	12/14/2016	<200KW PV, NY Sun	5,712
		<200KW PV, NY-Sun	6,150
	3/8/2017	>200KW PV, NY Sun	187,782
Adam C. Boese	10/7/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/5/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/15/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	1/10/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	1/11/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,890
	1/26/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/6/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
	2/28/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	11,500
	3/21/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
Adirondack North Country Association	1/4/2017	GJGNY REVOLVING LOAN FUND, Green Jobs Green New Yo..	21,797
ADP, Inc.	3/20/2017	NYSERDA ADMINISTRATION, HR Payroll and Timecards serv	15,000
AECOM Technical Services Inc.	12/7/2016	WEST VALLEY DEVELOPMENT PROGRAM, Environmental M..	528,358
Aegis Energy Services Inc.	12/1/2016	COMBINED HEAT AND POWER, CHPA - Park Lane	207,611

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Aegis Energy Services Inc.	1/9/2017	COMBINED HEAT AND POWER, CHPA - Green Hills Home	57,750	
	1/19/2017	COMBINED HEAT AND POWER, CHPA - DO & CO Catering	403,095	
		COMBINED HEAT AND POWER, CHPA - Patrick Gorman	385,000	
	2/13/2017	COMBINED HEAT AND POWER, CHPA - 220 Madison	135,000	
Aeonsolar	2/9/2017	<200KW PV, NY Sun	27,239	
Affordable Housing Partnership	1/9/2017	CLEANER GREENER COMMUNITIES, Green Jobs Green New..	20,362	
AHA Development Corporation	3/21/2017	Low Rise New Construction, Codes & New Construction	65,200	
Air Products and Chemicals, Inc.	1/24/2017	Industrial Process Effic, Industrial Process Efficiency	2,000,000	
AKF-engineers	10/26/2016	Flexible Tech Assistance, FlexTech Consultants Statewide	18,330	
	3/3/2017	Flexible Tech Assistance, FlexTech Consultants Statewide	27,550	
Akwasne Housing Authority	12/28/2016	Low Rise New Construction, New Construction	64,000	
Albany Housing Authority	1/17/2017	Low Rise New Construction, Codes & New Construction	23,000	
Albireo Energy, LLC	3/22/2017	Real Time Enrgy Management, 1700 LH - 1700 Broadway - RT..	13,500	
Alliance Cooperative Energy LLC	12/5/2016	<200KW PV, NY Sun	6,210	
Alliance Energy LLC	11/15/2016	FUEL NY, PGI00035 - Alliance Energy LLC	69,971	
		FUEL NY, PGI00157 - Alliance Energy LLC	66,041	
	12/19/2016	FUEL NY, PGI00013 - Alliance Energy LLC	71,583	
		FUEL NY, PGI00025 - Alliance Energy LLC	76,731	
	1/18/2017	FUEL NY, PGI00103 - Alliance Energy LLC	95,123	
		FUEL NY, PGI00155 - Alliance Energy LLC	62,866	
1/27/2017	FUEL NY, PGI00101 - Alliance Energy LLC	80,869		
Alliance for Housing Inc.	12/13/2016	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	16,200	
	1/17/2017	Multifam New Construction, PPES T2 Fountain Sea A1	58,600	
		Multifam New Construction, PPES T2 Fountain Sea A2	100,000	
Alliance for Sustainable Energy, LLC	3/27/2017	MARKET PATHWAYS, Residential Products	125,000	
Alliance to Save Energy	12/12/2016	NYSERDA ADMINISTRATION, Membership Dues 2017	25,000	
Altanova LLC	11/22/2016	Flexible Tech Assistance, FlexTech Consultant Selection	15,000	
	2/22/2017	Commercial New Construc, Altanova - Energy Modeling Par	17,000	
	3/23/2017	Flexible Tech Assistance, FlexTech Consultant Selection	20,001	
Alternative Power Solutions of NY, LLC	10/14/2016	<200KW PV, NY Sun	9,472	
	11/21/2016	<200KW PV, NY Sun	5,520	
	12/27/2016	<200KW PV, NY Sun	5,888	
	1/4/2017	<200KW PV, NY Sun	5,376	
	1/25/2017	<200KW PV, NY Sun	27,392	
	1/30/2017	<200KW PV, NY Sun	33,800	
	2/1/2017	<200KW PV, NY-Sun	5,472	
	2/15/2017	<200KW PV, NY Sun	6,360	
	3/7/2017	<200KW PV, NY Sun	5,120	
Amdor, LLC	10/26/2016	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	28,333	
Amerex Brokers LLC	1/20/2017	OTHER PROGRAM AREA, Modeling and Analytics	49,999	
American Energy Care, Inc.	10/4/2016	<200KW PV, NY Sun	8,736	
	11/10/2016	<200KW PV, NY Sun	10,944	
	12/2/2016	<200KW PV, NY Sun	2,400	
	12/6/2016	<200KW PV, NY Sun	2,400	
	12/13/2016	<200KW PV, NY Sun	120	
	12/22/2016	<200KW PV, NY-Sun	5,182	
	12/23/2016	<200KW PV, NY Sun	9,984	
	12/27/2016	<200KW PV, NY Sun	5,928	
	1/20/2017	<200KW PV, NY-Sun	1,378	
	3/23/2017	<200KW PV, NY Sun	5,600	
		<200KW PV, NY-Sun	96	
	American Natural Gas, LLC	10/4/2016	CLEAN TRANSPORTATION, NYS Compressed Natural Gas	379,778
	American Renewable Energy, Inc.	11/14/2016	<200KW PV, NY Sun	6,773
12/22/2016		<200KW PV, NY Sun	5,040	
12/28/2016		<200KW PV, NY Sun	11,983	
American Solar Partners, LLC	11/28/2016	<200KW PV, NY Sun	21,000	

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
American Solar Partners, LLC	1/26/2017	<200KW PV, NY-Sun	240
Ampersand Olcott Harbor Hydro LLC	11/2/2016	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	61,560
Ampersand Tannery Island Hydro, LLC	11/3/2016	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	157,130
Amphora Consulting	10/28/2016	NYSERDA ADMINISTRATION, Strategic Program Dev Training	75,000
Anjon of Bridgehampton Inc	12/6/2016	FUEL NY, PGI00009 - Anjon of Bridgehamp	74,200
Antares Group, Inc.	11/22/2016	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	6,990
	12/22/2016	Industrial Process Effic, Technical Review and Program S	6,301
	1/30/2017	EXISTING FACILITIES, Technical Review and Program S	6,246
	2/6/2017	Industrial Process Effic, Technical Review and Program S	12,242
	3/27/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	5,560
Apex Solar Power LLC	10/4/2016	<200KW PV, NY Sun	6,480
	10/17/2016	<200KW PV, NY Sun	7,560
	10/24/2016	<200KW PV, NY Sun	5,292
	10/28/2016	<200KW PV, NY Sun	11,070
		<200KW PV, NY-Sun	5,408
	11/1/2016	<200KW PV, NY Sun	11,880
	11/7/2016	<200KW PV, NY Sun	5,184
	11/8/2016	<200KW PV, NY Sun	10,952
	11/14/2016	<200KW PV, NY-Sun	43,220
	11/16/2016	<200KW PV, NY Sun	5,832
	11/17/2016	<200KW PV, NY Sun	5,400
	11/21/2016	<200KW PV, NY Sun	12,690
	12/2/2016	<200KW PV, NY Sun	10,536
		<200KW PV, NY-Sun	730
	12/6/2016	<200KW PV, NY-Sun	1,608
	12/14/2016	<200KW PV, NY Sun	38,480
	12/19/2016	<200KW PV, NY Sun	6,050
	12/28/2016	<200KW PV, NY Sun	44,656
	1/3/2017	<200KW PV, NY Sun	5,280
	1/5/2017	<200KW PV, NY-Sun	6,936
	1/13/2017	<200KW PV, NY Sun	240
	1/17/2017	<200KW PV, NY Sun	5,280
	1/18/2017	<200KW PV, NY-Sun	7,044
	1/25/2017	<200KW PV, NY Sun	216
	2/2/2017	<200KW PV, NY Sun	18,590
	2/13/2017	<200KW PV, NY Sun	5,170
	2/14/2017	<200KW PV, NY Sun	5,170
	2/24/2017	<200KW PV, NY Sun	5,280
	3/1/2017	<200KW PV, NY Sun	6,160
	3/2/2017	<200KW PV, NY Sun	6,600
	3/3/2017	<200KW PV, NY Sun	6,050
	3/9/2017	<200KW PV, NY-Sun	5,150
3/10/2017	<200KW PV, NY Sun	84	
3/13/2017	<200KW PV, NY Sun	6,600	
3/15/2017	<200KW PV, NY Sun	5,940	
3/17/2017	<200KW PV, NY Sun	5,760	
3/27/2017	<200KW PV, NY Sun	21,830	
	<200KW PV, NY-Sun	5,040	
Applied Energy Group, Inc.	3/21/2017	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	87,414
APX Inc.	2/14/2017	REC:CES REC System Dev Costs, NYGATS	246,300
Arcadis of New York, Inc.	10/3/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/13/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/26/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,500
	11/16/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/5/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/15/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,500



## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Arcadis of New York, Inc.	12/22/2016	OTHER PROGRAM AREA, Large Scales Renewables Techni	111,527
	12/29/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	1/11/2017	Flexible Tech Assistance, FlexTech Consultant Selection	14,995
	1/18/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	1/26/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
	3/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	3/16/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/21/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
Arcadis U.S., Inc.	11/30/2016	NY-SUN, Technical Review and Program S	150,000
	2/2/2017	EXISTING FACILITIES, Technical Review and Program S	146,844
Argus Media Inc.	3/28/2017	ENERGY ANALYSIS, Fuel price forecasting service	35,000
Arthur Kill Fuels LLC	2/13/2017	FUEL NY, PGI00267 - Arthur Kill Fuels	74,550
Astoria Fuel & Convenience Store Inc	1/20/2017	FUEL NY, PGI00238 - Astoria Fuel & Conv	74,000
Astrum Solar, Inc.	10/28/2016	<200KW PV, NY Sun	5,830
	1/11/2017	<200KW PV, NY Sun	6,360
	1/31/2017	<200KW PV, NY Sun	5,088
	2/6/2017	<200KW PV, NY Sun	6,720
	3/6/2017	<200KW PV, NY Sun	5,724
Atelier Ten	12/7/2016	Commercial New Construc, ATEN - EMP	26,118
Auburn City of	3/13/2017	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	881,550
Baja Beach Club, Inc.	11/4/2016	NEW CONSTRUCTION PROGRAM, NCP98324 - Curtiss Buildi..	23,742
Barry Frohlinger	2/22/2017	NEW YORK GREEN BANK, Credit Training for NYGB Staff	27,500
Barry X Ball Studio Inc	12/6/2016	NEW CONSTRUCTION PROGRAM, NCP12163 - Banker St	6,508
Battery Energy Storage System	12/27/2016	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	250,000
Baychester Petroleum LLC	10/27/2016	FUEL NY, PGI00067 - Baychester Petroleu	86,217
Beacon Communities Development LLC	1/17/2017	Low Rise New Construction, New Construction	47,000
	1/20/2017	Low Rise New Construction, New Construction	54,800
Benchmark Printing, Inc.	10/14/2016	GJGNY REVOLVING LOAN FUND, Printing Services	2,613
	12/7/2016	GJGNY REVOLVING LOAN FUND, Printing Services	592
Bergmann Associates	10/13/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/18/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/26/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/28/2016	RENEWABLE HEAT NY, Technical Review and Program S	2,400
	11/4/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/5/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/6/2016	Flexible Tech Assistance, Technical Review and Program S	41,504
		FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and ..	41,504
		Industrial Process Effic, Technical Review and Program S	31,128
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	93,384
	12/15/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		RENEWABLE HEAT NY, Technical Review and Program S	3,860
	12/22/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	1/10/2017	Flexible Tech Assistance, Technical Review and Program S	35,000
		FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and ..	35,000
		Industrial Process Effic, Technical Review and Program S	7,210
		REV CAMPUS CHALLENGE, Technical Review and Program S	30,000
	1/11/2017	RENEWABLE HEAT NY, Technical Review and Program S	2,200
	1/18/2017	Industrial Process Effic, Technical Review and Program S	3,875
	1/26/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
2/6/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
2/28/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,500	
3/3/2017	On-Site Energy Manager, FlexTech Consultant Selection	192,839	
3/17/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
3/27/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
Best Energy Power	12/27/2016	<200KW PV, NY Sun	11,424
	12/28/2016	<200KW PV, NY Sun	82,731

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
BH Coffee Company LLC	1/24/2017	Industrial Process Effic, IPE16021-Barrie House Coffee	35,500
Big Tree Glen Housing Development Fu..	10/17/2016	NEW YORK ENERGY STAR HOMES, New Construction	140,000
Bizodo Inc	2/21/2017	NYSERDA ADMINISTRATION, SeamlessDocs Licensing 17-18	27,450
BJ's Wholesale Club	12/1/2016	EXISTING FACILITIES, EFP2231 - BJ's 4 Sites	97,467
Black Cherry Services Group, Inc.	3/29/2017	<200KW PV, NY-Sun	5,348
Bloom Energy Corporation	11/10/2016	FUEL CELLS, CST FC Home Depot 1223	963,837
		FUEL CELLS, HD #1235-Cicero, NY	781,518
		FUEL CELLS, HD #1236-Dewitt, NY	898,395
		FUEL CELLS, HD #1239-Schenectady, NY	883,262
		FUEL CELLS, HD #1241-Albany, NY	900,866
		FUEL CELLS, HD #1254-Utica, NY	943,929
		FUEL CELLS, HD #1257-Camillus, NY	962,399
		FUEL CELLS, HD #1262-Albany, NY	767,533
		FUEL CELLS, HD #1263-North Greenbush, NY	998,817
		FUEL CELLS, HD #1269-Clifton Park, NY	948,572
		FUEL CELLS, HD #1289-Amsterdam, NY	930,146
		FUEL CELLS, HD #6153-Clay, NY	894,334
	2/6/2017	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	1,079,296
Bloomberg, L.P.	1/6/2017	NEW CONSTRUCTION PROGRAM, NCP14014 - 919 Third Av..	69,435
Blue Heron Trail II, LLC	1/17/2017	Low Rise New Construction, Codes & New Construction	57,000
Blue Pearl Hospitality LLC	2/24/2017	Low-Income Forum on Energy, 2017 LIFE Regional Mtg. - LI	9,000
Blue Raven Solar	12/20/2016	<200KW PV, NY-Sun	5,100
Bluestone Energy Services	10/6/2016	EXISTING FACILITIES, EFP2507 - Bluestone Energy -	9,170
Bolla EM Realty LLC	10/31/2016	FUEL NY, PGI00036 - Bolla EM Realty LLC	68,681
		FUEL NY, PGI00093 - Bolla EM Realty LLC	59,368
		FUEL NY, PGI00144 - Bolla EM Realty LLC	62,817
Bolla Operating Corp.	10/31/2016	FUEL NY, PGI00015 - Bolla Operating Cor	59,589
		FUEL NY, PGI00037 - Bolla Operating Cor	74,207
		FUEL NY, PGI00038 - Bolla Operating Cor	77,249
		FUEL NY, PGI00039 - Bolla Operating Cor	56,967
		FUEL NY, PGI00040 - Bolla Operating Cor	57,609
		FUEL NY, PGI00041 - Bolla Operating Cor	67,864
	12/13/2016	FUEL NY, PGI00095 - Bolla Operating Cor	69,275
		FUEL NY, PGI00096 - Bolla Operating Cor	84,218
		FUEL NY, PGI00141 - Bolla Operating Cor	70,519
Bolla Operating LI Corp.	10/31/2016	FUEL NY, PGI00016 - Bolla Operating LI	60,853
		FUEL NY, PGI00030 - Bolla Operating LI	87,288
		FUEL NY, PGI00032 - Bolla Operating LI	75,225
		FUEL NY, PGI00043 - Bolla Operating LI	80,483
		FUEL NY, PGI00044 - Bolla Operating LI	75,774
		FUEL NY, PGI00045 - Bolla Operating LI	72,333
		FUEL NY, PGI00084 - Bolla Operating LI	86,561
		FUEL NY, PGI00102 - Bolla Operating LI	68,203
		FUEL NY, PGI00191 - Bolla Operating LI	33,742
	11/10/2016	FUEL NY, PGI00060 - Bolla Operating LI	72,246
		FUEL NY, PGI00085 - Bolla Operating LI	64,861
		FUEL NY, PGI00088 - Bolla Operating LI	65,644
		FUEL NY, PGI00152 - Bolla Operating LI	70,808
	12/13/2016	FUEL NY, PGI00086 - Bolla Operating LI	84,816
		FUEL NY, PGI00098 - Bolla Operating LI	70,402
		FUEL NY, PGI00142 - Bolla Operating LI	63,704
Bond, Schoeneck & King, PLLC	3/1/2017	OTHER PROGRAM AREA, RFP 3300 Outside Counsel Servi	7,500
BOP Manhattan West Holdings, LLC	11/22/2016	NEW CONSTRUCTION PROGRAM, NCP10559 - Tower 1	486,595
Borg Warner-Morse TEC	2/9/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	425,041
Borrego Solar Systems, Inc.	2/6/2017	>200KW PV, NY Sun	2,091,952
	2/13/2017	>200KW PV, NY Sun	1,183,531

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
<b>Borrego Solar Systems, Inc.</b>	3/8/2017	>200KW PV, NY Sun	976,413
	3/9/2017	>200KW PV, NY Sun	2,091,952
	3/28/2017	>200KW PV, NY Sun	4,732,067
	3/31/2017	>200KW PV, NY Sun	927,099
<b>Brahma Hunt LLC</b>	3/13/2017	>200KW PV, NY Sun	296,949
	3/28/2017	>200KW PV, NY Sun	296,949
	3/29/2017	>200KW PV, NY Sun	148,474
<b>Brattle Group Inc.</b>	11/9/2016	Off-Shore Wind Master Plan, Large Scales Renewables Techni	895,000
<b>Brenda Sayers</b>	3/9/2017	WEST VALLEY DEVELOPMENT PROGRAM, W/V Office Clean..	11,940
<b>Brian Firestone</b>	3/8/2017	Low Rise New Construction, New Construction	5,500
<b>Bright Power, Inc.</b>	10/4/2016	<200KW PV, NY Sun	19,803
	10/21/2016	Flexible Tech Assistance, FlexTech Consultant Selection	15,950
	1/12/2017	<200KW PV, NY Sun	22,890
	2/3/2017	<200KW PV, NY Sun	33,419
	3/2/2017	<200KW PV, NY Sun	15,565
<b>Broadway 52nd LP</b>	12/7/2016	EXISTING FACILITIES, EFP2513 - Broadway 52nd LP - 1	271,572
	3/31/2017	EXISTING FACILITIES, EFP2513 - Broadway 52nd LP - 1	66,549
<b>Bronx Park Phase II Preservation LLC</b>	12/1/2016	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	87,850
<b>Bronx Pro Group, LLC</b>	12/30/2016	Multifam New Construction, MFNCP PHI T3-3365 Third Ave	105,000
<b>Brookhaven National Lab</b>	11/10/2016	OTHER PROGRAM AREA, ERL Test Accelerator (C-Beta)	25,000,000
<b>Brooklyn SolarWorks LLC</b>	1/25/2017	<200KW PV, NY Sun	8,160
	1/30/2017	<200KW PV, NY Sun	3,136
	2/9/2017	<200KW PV, NY Sun	11,200
	3/8/2017	<200KW PV, NY Sun	2,464
<b>Brownell Electric Corp.</b>	12/9/2016	<200KW PV, NY Sun	5,016
<b>Buckeye Terminals, LLC</b>	11/9/2016	SFRUP:Upstate Strat Fuel Res, Upstate NY Strategic Fuels Res	1,356,000
<b>Buffalo Neighborhood Stabilization Co</b>	12/22/2016	Low Rise New Construction, Codes & New Construction	31,000
<b>Buffalo Solar Solutions Inc</b>	11/14/2016	<200KW PV, NY-Sun	5,280
	11/21/2016	<200KW PV, NY Sun	5,040
	1/12/2017	<200KW PV, NY Sun	5,040
	1/17/2017	<200KW PV, NY-Sun	7,440
	2/1/2017	<200KW PV, NY Sun	360
<b>Business Environments</b>	1/27/2017	workstations	19,600
<b>Butler/Till Media Services, Inc.</b>	11/22/2016	EMPOWER NY, Marketing Contract	59,957
		HOME PERFORMANCE WITH ENERGY STAR, Marketing Con..	156,182
		MULTIFAMILY PERFORMANCE PROGRAM, Marketing Contra..	92,083
		STATEWIDE RESIDENTIAL POINT OF SALE, Marketing Contr..	14,912
<b>BW Research Partnership</b>	1/19/2017	OTHER PROGRAM AREA, New York Clean Energy Jobs Stu	278,956
<b>C.J. Brown Energy, P.C.</b>	10/26/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/31/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	11/4/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,207
	11/10/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	11/16/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	11/25/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/5/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/6/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/15/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/29/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,500
	1/11/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/21/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/20/2017	NEW CONSTRUCTION PROGRAM, CJ Brown - EMP	14,163
<b>C.T. Male Associates Engineering,</b>	1/19/2017	Flexible Tech Assistance, FlexTech Consultant Selection	3,750
<b>C&amp;S Oil Corporation</b>	12/21/2016	FUEL NY, PGI00121 - C&S Oil Corporation	70,000
<b>Calstart</b>	2/6/2017	CLEANER GREENER COMMUNITIES, CGC54612 - CALSTART	1,700,000
<b>Calvary Manager LLC</b>	1/20/2017	Multifam New Construction, MFNCP PHIUS T3-1579 St John	300,000

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
CAMBA Housing Ventures, Inc.	3/17/2017	Multifam New Construction, MFNCP PPES T2-210-214 Hege	62,200
Capital District Records Management, I..	1/31/2017	NYSERDA ADMINISTRATION, Media Storage & Destruction	6,768
Car Care of Manhasset Inc	10/17/2016	FUEL NY, PGI00107 - Car Care of Manhass	32,498
Carahsoft Technology Corporation	10/28/2016	NYSERDA ADMINISTRATION, Renewal: Docusign Licensing	49,400
	3/21/2017	NYSERDA ADMINISTRATION, DocuSign Licensing 17-18	83,231
Carbone Auto Group, LLC	1/12/2017	Replacement vehicle for Admini	45,630
Carrera RS, LLC	1/18/2017	Multifam New Construction, MFNCP PHI T3-505 East 86th St	300,000
Cayuga Medical Center at Ithaca	12/20/2016	NEW CONSTRUCTION PROGRAM, NCP11115 - CMC0B10 (..	42,959
CDH Energy Corporation	10/18/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/20/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,345
	10/26/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	11/10/2016	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	76,500
	11/17/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/22/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	8,500
	12/28/2016	EVALUATION, Technical Review and Program S	103,365
	12/29/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,000
		EVALUATION, Technical Review and Program S	86,245
	1/11/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/10/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/17/2017	COMBINED HEAT AND POWER, RFP 3328	2,000,000
	2/21/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Industrial Process Effic, Technical Review and Program S	20,530
	3/1/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	6,000
	3/3/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/16/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/27/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Cellco Partnership	11/30/2016	Industrial Process Effic, Industrial Process Efficiency
1/6/2017		Industrial Process Effic, Industrial Process Efficiency	69,860
Center for Economic Growth	2/6/2017	COMMUNITY SOLAR, Solarize 2017	5,000
Center for Sustainable Energy	12/16/2016	OTHER PROGRAM AREA, ChargeNY ZEV Rebate Imp Contra	4,964
Certified Heating Oils, Inc.	12/21/2016	FUEL NY, PGI00220 - Certified Heating	74,000
	2/8/2017	FUEL NY, PGI00225 - Certified Heating	97,250
CHA Consulting Inc.	10/3/2016	Flexible Tech Assistance, FlexTech Consultant CHA	14,750
	10/20/2016	RENEWABLE HEAT NY, Technical Review and Program S	2,000
	10/26/2016	Flexible Tech Assistance, FlexTech Consultant CHA	24,250
	10/31/2016	EXISTING FACILITIES, Technical Review and Program S	2,000
	11/18/2016	Flexible Tech Assistance, FlexTech Consultant CHA	12,500
	11/22/2016	Flexible Tech Assistance, Technical Review and Program S	62,500
		FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and ..	62,500
		Agriculture Energy Eff Pgm, Technical Review and Program S	54,529
	12/6/2016	Industrial Process Effic, Technical Review and Program S	43,046
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	129,139
		Flexible Tech Assistance, Technical Review and Program S	39,626
	12/16/2016	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and ..	39,626
		Industrial Process Effic, Technical Review and Program S	29,720
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	89,159
	1/10/2017	Industrial Process Effic, Technical Review and Program S	120,000
	1/18/2017	Industrial Process Effic, Technical Review and Program S	9,300
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	5,000
	1/19/2017	Industrial Process Effic, Technical Review and Program S	95,500
	2/1/2017	Industrial Process Effic, Commercial & Industrial Outrea	480,747
		INDUSTRIAL PROCESS EFFICIENCY, Commercial & Industria..	120,547
On-Site Energy Manager, Commercial & Industrial Outrea		73,535	
Strategic Energy Manager, Commercial & Industrial Outrea		81,370	
2/10/2017	Flexible Tech Assistance, FlexTech Consultant CHA	19,240	

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount	
CHA Consulting Inc.	2/23/2017	Flexible Tech Assistance, FlexTech Consultant CHA	147,518	
		Industrial Process Effic, Technical Review and Program S	7,800	
		OTHER PROGRAM AREA, FlexTech Consultant CHA	30,247	
	2/24/2017	On-Site Energy Manager, FlexTech Consultant CHA	234,375	
	3/21/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	3,500	
	3/22/2017	Industrial Process Effic, Technical Review and Program S	30,000	
Charge CCCV, LLC	1/26/2017	On-Site Energy Manager, FlexTech Consultant CHA	234,375	
		OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	500,000	
ChromaNanoTech LLC	1/19/2017	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	250,000	
Cicero Volunteer Fire Department	12/14/2016	NEW CONSTRUCTION PROGRAM, NCP12941 - Cicero Fire S..	7,300	
CIR ELECTRICAL CONSTRUCTION CORP.	10/6/2016	<200KW PV, NY Sun	5,460	
	10/21/2016	<200KW PV, NY-Sun	688	
	11/7/2016	<200KW PV, NY Sun	14,490	
	11/16/2016	<200KW PV, NY Sun	12,588	
	11/22/2016	<200KW PV, NY Sun	7,688	
	11/25/2016	<200KW PV, NY Sun	13,770	
		<200KW PV, NY-Sun	5,624	
	1/9/2017	<200KW PV, NY-Sun	5,996	
	1/12/2017	<200KW PV, NY Sun	5,456	
	1/17/2017	<200KW PV, NY Sun	11,008	
	1/19/2017	<200KW PV, NY Sun	11,792	
		<200KW PV, NY-Sun	6,018	
	1/30/2017	<200KW PV, NY Sun	63,590	
	1/31/2017	<200KW PV, NY Sun	5,704	
	2/16/2017	<200KW PV, NY-Sun	5,080	
	2/28/2017	<200KW PV, NY Sun	5,084	
	3/31/2017	<200KW PV, NY Sun	9,648	
	Citi Realty Services	12/16/2016	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficl..	1,322,476
		12/22/2016	ADVANCED BUILDINGS, EFP/DMP2465 - Citigroup	314,713
	EXISTING FACILITIES, EFP/DMP2465 - Citigroup		5,862,650	
City Fuels LLC	11/7/2016	FUEL NY, PGI00072 - City Fuels LLC	67,344	
City of Auburn	10/24/2016	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	881,550	
City of Cortland	1/25/2017	Anaerobic Digesters, ADG-to-Electricity Project	2,000,000	
City of Middletown	1/9/2017	ANAEROBIC DIGESTER, RPS CST ADG-Middletown Sewage	1,760,220	
City Of New York	1/25/2017	NEW CONSTRUCTION PROGRAM, CGC43226 - New York City	400,000	
City of Schenectady	2/7/2017	CLEANER GREENER COMMUNITIES, CGC61854 - City of Sc..	250,000	
CJ Solar 1, LLC	2/7/2017	NY-SUN, C&I PV Project City of Utica	654,357	
Clean Power Research	1/24/2017	NY-SUN, Power Clerk Database for NYSUN	7,649	
		NYSERDA ADMINISTRATION, Power Clerk Database for NYS..	4,119	
Clearcell Power, Inc.	12/28/2016	FUEL CELLS, RPS CST Fuel Cell Program	1,000,000	
CLEARResult Consulting, Inc.	12/1/2016	Low Rise New Construction, Implementation and Support con	213,444	
	12/29/2016	Low Rise New Construction, Implementation and Support con	300,000	
		NEW YORK ENERGY STAR HOMES, Implementation and Sup..	300,000	
	1/12/2017	NYSERDA ADMINISTRATION, Phone Email & Web Support	438,004	
	2/3/2017	GJGNY REVOLVING LOAN FUND, GJGNY TIC	145,000	
ClearStak LLC	12/1/2016	RENEWABLE HEAT NY, Round-Robin Testing Program	40,000	
Clinton Terrace L.P.	10/26/2016	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	20,000	
CNY Solar, Inc.	10/14/2016	<200KW PV, NY Sun	6,264	
	11/1/2016	<200KW PV, NY Sun	12,880	
	12/22/2016	<200KW PV, NY Sun	9,920	
	12/23/2016	<200KW PV, NY Sun	14,720	
	1/17/2017	<200KW PV, NY Sun	8,432	
	2/9/2017	<200KW PV, NY-Sun	900	
	3/2/2017	<200KW PV, NY-Sun	226	
	3/29/2017	<200KW PV, NY Sun	7,168	
Cogan Group Inc	11/8/2016	<200KW PV, NY Sun	17,464	

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Cogan Group Inc	12/6/2016	<200KW PV, NY Sun	7,168
Cogeneration Contractors, Inc.	11/28/2016	COMBINED HEAT AND POWER, CHPA - 626 Flatbush	128,700
	11/30/2016	COMBINED HEAT AND POWER, CHPA - Kings County Hospit..	1,500,000
	3/17/2017	COMBINED HEAT AND POWER, CHPA - 66-36 Yellowstone	255,255
		COMBINED HEAT AND POWER, CHPA - San Remo	375,911
	3/28/2017	COMBINED HEAT AND POWER, CHPA - POD Hotel	232,050
Cohoes, City of	10/27/2016	CLEANER GREENER COMMUNITIES, CGC42156 - City of Co..	51,500
Cold Black River L.P.	10/6/2016	Multifam Performance Pgm, Multifamily	25,875
Collegiate Builders	11/14/2016	<200KW PV, NY Sun	7,410
	1/23/2017	<200KW PV, NY Sun	6,000
Columbia University	2/8/2017	NEW CONSTRUCTION PROGRAM, NCP11569 - ColumbiaBo..	78,770
Commercial Investigations LLC	2/22/2017	NYSERDA ADMINISTRATION, Background Checks	10,000
Communications Specialists, Inc.	10/18/2016	<200KW PV, NY-Sun	5,400
	2/6/2017	<200KW PV, NY Sun	5,886
Connection Technology Center, Inc.	1/31/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	2,621
Consortium for Energy Efficiency, Inc.	12/22/2016	Prof & Expert Engagement, CEE ETAC 2016 Membership	5,000
Constellation Energy Nuclear Group, L..	3/23/2017	ZEC:CES ZEC Payments, Large-Scale Renewables	375,270,305
COOPER ELECTRIC SUPPLY INC	11/2/2016	NY-SUN, NY-Sun Comp. Monroe Cable	787,874
Cornell University	10/28/2016	OTHER PROGRAM AREA, 2017 EaC Sponsorship	30,000
	11/4/2016	OTHER PROGRAM AREA, 76West Building a Clean Energy	19,865
	11/9/2016	ENVIRONMENTAL RESEARCH, NY climate clearinghouse	54,752
	11/17/2016	OTHER PROGRAM AREA, 76West Building a Clean Energy	37,173
	2/10/2017	OTHER PROGRAM AREA, 76West Building a Clean Energy	41,100
	2/27/2017	Greenhouse Light & Systems Eng, Industrial & Agriculture	3,120,000
Cornell University-Office of Sponsored P	11/29/2016	ENVIRONMENTAL RESEARCH, Building Downwash Effect	189,863
Cornerstone Energy Services	12/1/2016	RENEWABLE HEAT NY, RHNH Award Letter/PO-Meissner	15,000
Corning Inc.	1/17/2017	Industrial Process Effic, Industrial Process Efficiency	68,871
CoStar Realty Information, Inc.	2/14/2017	Subscription/Data Access, Database/subscription services	21,250
Couch White, LLP	12/1/2016	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outsid..	5,000
Credit Suisse USA	1/13/2017	NEW CONSTRUCTION PROGRAM, NCP12339 - Eleven Madis..	2,788
Cross Bronx Services Station Corp	11/7/2016	FUEL NY, PGI00065 - Cross Bronx Service	80,907
Croton Falls Gas Mart	2/28/2017	FUEL NY, PGI00273 - Croton Falls Gas Ma	26,830
Croton on the Hudson Gas Station Inc.	1/12/2017	FUEL NY, PGI00042 - Croton on the Hudso	16,281
CTG:I LLC	12/15/2016	EVALUATION, One year subscription for 3 us	4,250
		Subscription/Data Access, One year subscription for 3 us	4,250
CUCS Housing Development Fund Cor..	1/18/2017	Multifam New Construction, MFNCP PHI T3-CUCS W 127 St	300,000
Culver Company, LLC	10/13/2016	POLICY DEVELOPMENT, Consumer Serv & Events Managem	16,549
Cusie 31 LLC	2/3/2017	NEW CONSTRUCTION PROGRAM, NCP12209 - 11 East 31st ..	12,151
Cutone & Company Consultants, LLC	10/6/2016	EXISTING FACILITIES, EFP1752 - Iona College	8,422
	3/6/2017	EXISTING FACILITIES, EFP/DMP2499 - Cutone; Fordham	810,012
	3/30/2017	EXISTING FACILITIES, EFP2460 - Cutone - 345 Hudson	882,270
Cypress Creek Renewables LLC	10/6/2016	>200KW PV, NY-Sun C&I	1,331,022
	10/13/2016	>200KW PV, NY-Sun	3,327,554
	10/14/2016	>200KW PV, NY-Sun	1,109,185
	10/18/2016	>200KW PV, NY-Sun	1,331,022
		>200KW PV, NY-Sun C&I	1,331,022
	11/3/2016	>200KW PV, NY-Sun C&I	1,331,022
	11/4/2016	>200KW PV, NY-Sun C&I	1,331,022
	1/9/2017	>200KW PV, NY Sun	1,109,185
	3/13/2017	>200KW PV, NY Sun	1,045,803
Cypress Hills Local Development Corporat	12/27/2016	GREEN AFFORDABLE HOUSING, Multifamily	43,299
		MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	71,122
D & R International Ltd	10/17/2016	EVALUATION, Performance Management	84,400
D. F. Brandt, Inc.	3/8/2017	Industrial Process Effic, Industrial Process Efficiency	61,938
Dailey Electric Inc	1/18/2017	<200KW PV, NY Sun	7,728
Danfoss Holding Security Corporation	11/10/2016	EXISTING FACILITIES, EFP2446 - Danfoss; Shoprite	144,697

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Darling Advertising Agency Inc.	2/8/2017	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	8,000
	2/13/2017	Off-Shore Wind Master Plan, Marketing Support for NYSERDA	320,000
DatArcs, Inc.	3/27/2017	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	250,000
David P Bruns	1/6/2017	Low Rise New Construction, Codes & New Construction	143,200
		Low Rise New Construction, New Construction	231,200
DeCiccio Market Place	11/29/2016	NEW CONSTRUCTION PROGRAM, NCP14052 - DeCicco of K..	54,946
Deer Hills Service, LLC	2/8/2017	FUEL NY, PGI00118 - Deer Hills Service	58,648
Dentons US LLP	12/6/2016	NYSERDA ADMINISTRATION, Green Bank Outside Legal Ser.	89,546
DeWitt Community Library	12/22/2016	NEW CONSTRUCTION PROGRAM, NCP13183-DeWittCommu..	19,294
Direct Marketing Productions, Inc.	2/23/2017	OTHER PROGRAM AREA, 2017 arpa-e Sponsorship	6,000
Direct Packet Inc.	10/21/2016	NYSERDA ADMINISTRATION, Firewall Traversal - Renewal	12,000
	11/21/2016	NYSERDA ADMINISTRATION, VideoConf End of Life - 2	17,726
	2/13/2017	NYSERDA ADMINISTRATION, Direct Response 2017	5,055
	2/28/2017	NYSERDA ADMINISTRATION, Video Conf. upgrade WV, Buff.	15,892
Distributed Sun, LLC	3/28/2017	>200KW PV, NY Sun	845,159
DJ Acquisition Management DBA Weco..	2/23/2017	Industrial Process Effic, Industrial Process Efficiency	54,867
Dodge Data & Analytics	12/5/2016	EVALUATION, Dodge Data	41,425
Douglas R Jarvis	1/25/2017	<200KW PV, NY Sun	9,744
	2/17/2017	<200KW PV, NY Sun	112
Dowd-Witbeck Printing Corp.	10/14/2016	COMBINED HEAT AND POWER, Printing Services	775
	11/29/2016	NYSERDA ADMINISTRATION, Printing Services-MWBE	354
	12/22/2016	NYSERDA ADMINISTRATION, Printing Services-MWBE	573
	1/18/2017	NYSERDA ADMINISTRATION, Printing Services-MWBE	279
	1/27/2017	NYSERDA ADMINISTRATION, Printing Services	1,722
	2/6/2017	NYSERDA ADMINISTRATION, Printing Services-MWBE	195
	2/17/2017	NYSERDA ADMINISTRATION, Printing Services-MWBE	332
	2/28/2017	Low-Income Forum on Energy, Printing Services	1,420
		NYSERDA ADMINISTRATION, Printing Services-MWBE	140
	3/17/2017	Low-Income Forum on Energy, Printing Services	950
		NYSERDA ADMINISTRATION, Printing Services-MWBE	560
	3/28/2017	Home Perf w Energy Star, Printing Services	2,744
		Low-Income Forum on Energy, Printing Services	701
Downstream Construction, LLC	10/25/2016	<200KW PV, NY Sun	5,712
	11/21/2016	<200KW PV, NY Sun	84
Dueppengiesser Dairy Co.	12/22/2016	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Effi..	9,008
Dunn Paper	1/6/2017	Industrial Process Effic, Industrial Process Efficiency	438,182
Dynamic Energy Solutions, LLC	10/13/2016	>200KW PV, NY-Sun C&I	1,051,656
	11/3/2016	>200KW PV, NY-Sun C&I	190,319
	2/13/2017	>200KW PV, NY Sun	1,032,295
	3/9/2017	>200KW PV, NY Sun	1,032,295
Eagle Creek Hydro Power LLC	12/5/2016	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	2,397,000
Earth Environmental Group, LLC	12/12/2016	Solar Thermal, Solar Thermal	6,854
		Solar Thermal, Solar Thermal Incentives	109,664
East Main Associates LLC	2/8/2017	Low Rise New Construction, Codes & New Construction	67,400
East Pembroke Fire District	11/22/2016	NEW CONSTRUCTION PROGRAM, NCP11478 - East Pembro..	6,136
Eastern Energy Systems Inc.	1/11/2017	<200KW PV, NY-Sun	24,474
Ebenezer Plaza Owner LLC	1/27/2017	Multifam New Construction, New Construction	100,000
Ecova Inc	12/27/2016	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	525,790
Ecovis, Inc.	10/3/2016	<200KW PV, NY Sun	6,552
	1/31/2017	<200KW PV, NY Sun	28,925
El Puente	10/19/2016	CLEANER GREENER COMMUNITIES, Green Jobs Green New..	59,848
	2/3/2017	CLEANER GREENER COMMUNITIES, Green Jobs Green New..	29,540
Eldor Contracting Corporation	1/30/2017	<200KW PV, NY Sun	13,034
	3/17/2017	<200KW PV, NY Sun	902
Electric Energy Services & Advisors, L..	1/31/2017	OTHER PROGRAM AREA, Modeling and Analytics	35,000
Emacx Systems, Inc.	11/14/2016	ADVANCED BUILDINGS, EFP2500 - Emacx - 28 Liberty	96,117

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
<b>Emacx Systems, Inc.</b>	11/14/2016	EXISTING FACILITIES, EFP2500 - Emacx - 28 Liberty	427,112
<b>EMCOR Services Betlem</b>	10/3/2016	Flexible Tech Assistance, FlexTech Consultant Selection	4,500
	3/27/2017	On-Site Energy Manager, FlexTech Consultant Selection	153,906
<b>EME Consulting Engineering Group, LLC</b>	10/13/2016	EXISTING FACILITIES, Technical Review and Program S	12,050
	10/27/2016	Commercial Real Estate Ten, FlexTech Consultant Selection	333,333
		MARKET PATHWAYS, FlexTech Consultant Selection	200,000
	11/2/2016	Commercial New Construc, EME - EMP	12,500
	11/10/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		NEW CONSTRUCTION PROGRAM, EME - EMP	9,760
	12/1/2016	EXISTING FACILITIES, Technical Review and Program S	107,000
		Flexible Tech Assistance, Technical Review and Program S	107,000
	12/5/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/15/2016	Commercial New Construc, EME - EMP	20,500
	12/29/2016	NEW CONSTRUCTION PROGRAM, Technical Assistance Serv..	35,000
		NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	43,700
	1/9/2017	Commercial New Construc, EME - EMP	10,000
	1/19/2017	NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	6,000
	3/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/27/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/28/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
<b>Empire Solar Solutions LLC</b>	11/7/2016	<200KW PV, NY Sun	7,680
	11/8/2016	<200KW PV, NY Sun	7,440
	11/10/2016	<200KW PV, NY Sun	11,040
	11/14/2016	<200KW PV, NY Sun	10,000
	11/30/2016	<200KW PV, NY Sun	6,318
	12/5/2016	<200KW PV, NY Sun	8,160
	12/20/2016	<200KW PV, NY Sun	19,642
	12/22/2016	<200KW PV, NY Sun	7,680
	12/23/2016	<200KW PV, NY Sun	7,200
	1/12/2017	<200KW PV, NY Sun	19,740
	1/17/2017	<200KW PV, NY Sun	6,120
	1/24/2017	<200KW PV, NY Sun	5,760
	1/25/2017	<200KW PV, NY Sun	5,600
	2/23/2017	<200KW PV, NY Sun	5,520
	3/10/2017	<200KW PV, NY Sun	200
	3/28/2017	<200KW PV, NY Sun	9,600
	3/30/2017	<200KW PV, NY Sun	6,844
<b>Empire State Realty OP, LP</b>	2/24/2017	EXISTING FACILITIES, EFP2350 - Empire State Realty	586,197
<b>Employee Leasing of Greater NY</b>	10/21/2016	NYSERDA ADMINISTRATION, Temp Employee Services	21,060
	1/9/2017	NYSERDA ADMINISTRATION, Temp Employee Services	17,297
	1/10/2017	NYSERDA ADMINISTRATION, Temp Employee Services	17,297
	2/21/2017	NY-SUN, Temporary Services	59,543
<b>Empower CES, LLC</b>	11/3/2016	<200KW PV, NY Sun	15,395
	11/9/2016	<200KW PV, NY-Sun	5,298
	1/5/2017	<200KW PV, NY Sun	6,734
	1/6/2017	<200KW PV, NY Sun	8,460
	1/19/2017	<200KW PV, NY-Sun	24,510
	3/15/2017	<200KW PV, NY Sun	6,624
<b>Enercon Services Inc</b>	10/18/2016	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3305 Licenc..	193,127
<b>Energetics, Incorporated</b>	12/9/2016	CLEANER GREENER COMMUNITIES, Animating the EV mark..	1,700,000
	1/31/2017	CLEAN TRANSPORTATION, Strategies for reducing EVSE I	99,991
<b>Energy &amp; Resource Solutions, Inc.</b>	10/3/2016	EXISTING FACILITIES, Technical Review and Program S	5,430
	10/6/2016	NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	21,490
	10/11/2016	NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	7,590
	10/13/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
		EXISTING FACILITIES, Technical Review and Program S	14,400



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Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Energy & Resource Solutions, Inc.	10/14/2016	EXISTING FACILITIES, Technical Review and Program S	8,840	
	10/18/2016	EXISTING FACILITIES, Technical Review and Program S	9,000	
	10/31/2016	EXISTING FACILITIES, Technical Review and Program S	60,405	
	11/22/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	11/25/2016	EXISTING FACILITIES, Technical Review and Program S	10,360	
	11/28/2016	EXISTING FACILITIES, Technical Review and Program S	7,970	
	12/5/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	12/16/2016	Industrial Process Effic, Technical Review and Program S	53,129	
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	159,387	
	12/22/2016	EXISTING FACILITIES, Technical Review and Program S	3,151	
	1/9/2017	NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	794	
	1/10/2017	RENEWABLE HEAT NY, Technical Review and Program S	3,140	
	1/26/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000	
	2/1/2017	Industrial Process Effic, Commercial & Industrial Outrea	223,399	
		INDUSTRIAL PROCESS EFFICIENCY, Commercial & Industria..	56,018	
		On-Site Energy Manager, Commercial & Industrial Outrea	34,171	
		Strategic Energy Manager, Commercial & Industrial Outrea	37,812	
	2/15/2017	NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	874	
	2/21/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	6,600	
	3/22/2017	EXISTING FACILITIES, Technical Review and Program S	6,255	
	3/23/2017	NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	15,550	
	3/27/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	Energy and Environmental Economics Inc.	12/1/2016	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ren..	35,127
		12/14/2016	Rmve Barriers Dist Enrgy Storg, Tech Assist, REV Pool	30,000
		1/19/2017	CLEAN TRANSPORTATION, BCA of EV grid impacts	100,000
		2/8/2017	>200KW PV, Tech Assist, REV Pool	50,000
			ENERGY ANALYSIS, Tech Assist, REV Pool	25,000
			OTHER PROGRAM AREA, Tech Assist, REV Pool	25,000
	3/22/2017	OTHER PROGRAM AREA, Renewable Heating Cooling TA	30,000	
	Energy Futures Group, Inc.	1/20/2017	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	482,101
	Energy Reduction Assets LLC	3/31/2017	EXISTING FACILITIES, EFP2351 - Energy Reduction Ass	46,891
Energy Reduction Concepts, LLC	2/24/2017	EXISTING FACILITIES, EFP2351 - Energy Reduction Ass	46,891	
Enertiv Inc.	1/20/2017	Real Time Enrgy Management, Eric Mausukopf--255E.74th-RT..	11,305	
		Real Time Enrgy Management, Greg Maser--260 Spring--RTEM	9,030	
Enerwise Global Technologies	12/15/2016	EXISTING FACILITIES, EFP2391 - Enerwise - Multisite	30,614	
Entergy Nuclear Fitzpartrick, LLC	3/17/2017	ZEC:CES ZEC Payments, Large-Scale Renewables	107,492,335	
EnterSolar LLC	10/13/2016	<200KW PV, NY-Sun	187,500	
	11/1/2016	<200KW PV, NY-Sun	62,500	
	11/22/2016	<200KW PV, NY Sun	47,000	
	12/20/2016	<200KW PV, NY-Sun	62,500	
	1/17/2017	<200KW PV, NY-Sun	118,235	
	1/18/2017	>200KW PV, NY Sun	432,472	
	1/19/2017	>200KW PV, NY Sun	435,006	
	1/23/2017	<200KW PV, NY-Sun	62,500	
	2/23/2017	<200KW PV, NY-Sun	40,623	
	3/28/2017	>200KW PV, NY Sun	315,050	
3/30/2017	>200KW PV, NY Sun	170,924		
Erdman Anthony & Associates, Inc.	10/13/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,500	
	11/17/2016	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	4,095	
	11/22/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,500	
		Industrial Process Effic, Technical Review and Program S	3,185	
	1/18/2017	Commercial New Construc, EAA - EMP	12,154	
	1/26/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	2/1/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,500	
	2/3/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
	2/15/2017	Industrial Process Effic, Technical Review and Program S	16,043	

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Erdman Anthony & Associates, Inc.	2/23/2017	Industrial Process Effic, Technical Review and Program S	3,906
Erie Boulevard Hydropower LP	11/7/2016	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	2,714,216
Ery Tenant LLC	11/17/2016	NEW CONSTRUCTION PROGRAM, NCP10565 - Retail Hudso..	223,912
Esplanade Gardens, Inc.	11/14/2016	Flexible Tech Assistance, FlexTech Program - PON1746	8,900
ESRI, Incorporated	12/16/2016	NYSERDA ADMINISTRATION, ESRI ArcGIS Upgrade	6,130
Essense Partners Inc.	1/9/2017	OTHER PROGRAM AREA, 76West Marketing Consultant	40,026
	2/13/2017	OTHER PROGRAM AREA, Marketing Support for NYSERDA	149,500
	3/29/2017	OTHER PROGRAM AREA, Marketing Support for NYSERDA	300,000
	3/30/2017	OTHER PROGRAM AREA, Marketing Support for NYSERDA	168,000
EV Connect Inc.	1/5/2017	CLEANER GREENER COMMUNITIES, CGC55811 - EV Conne..	1,400,000
EV-Box N.A. Inc.	12/16/2016	CLEAN TRANSPORTATION, AC+DC charging with battery	15,050
Evoworld	12/15/2016	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	128,222
Extraterrestrial Materials Inc.	11/21/2016	<200KW PV, NY Sun	10,000
	12/19/2016	<200KW PV, NY Sun	5,544
	3/21/2017	<200KW PV, NY Sun	5,568
FBD Realty	10/6/2016	EXISTING FACILITIES, EFP2389 - FBD Realty LLC - mul	62,965
Finch Paper, LLC	1/25/2017	Industrial Process Effic, Industrial Process Efficiency	1,235,000
Fingerlakes Renewables	12/9/2016	<200KW PV, NY Sun	5,376
First Columbia Property Services, LLC	10/18/2016	NYSERDA ADMINISTRATION, Property Management Services	83,822
	11/3/2016	NYSERDA ADMINISTRATION, Property Management Services	35,560
	12/22/2016	NYSERDA ADMINISTRATION, Property Management Services	18,750
	3/8/2017	NYSERDA ADMINISTRATION, Property Management Services	5,643
First Quality Maintenance II, LLC	10/19/2016	NYSERDA ADMINISTRATION, Admin-NYC (Accounting Use)	129,700
First Ward Action Council, Inc.	12/22/2016	Low Rise New Construction, New Construction	21,000
	1/27/2017	NEW YORK ENERGY STAR HOMES, RES-NewConst(no long..	93,500
Flexo Transparent Inc.	3/13/2017	Industrial Process Effic, Industrial Process Efficiency	234,613
Florenton River LLC	10/21/2016	<200KW PV, NY Sun	6,560
	10/24/2016	<200KW PV, NY Sun	6,400
Foley Hoag, LLP	2/15/2017	Off-Shore Wind Master Plan, Off Shore Wind Legal Consultin	25,000
Foodlink, Inc.	3/8/2017	NEW CONSTRUCTION PROGRAM, NCP13149 - Foodlink Exp..	17,472
Forbes-Capretto Homes	3/8/2017	Low Rise New Construction, Codes & New Construction	5,000
Fordham University	11/9/2016	EXISTING FACILITIES, EFP/DMP2132 - Fordham Univ.	957,143
	3/13/2017	EXISTING FACILITIES, EFP/DMP2132 - Fordham Univ.	178,261
Forest Avenue Service Station Inc	12/1/2016	FUEL NY, PGI00195 - Forest Avenue Servi	45,200
Fort Drum Mountain Community Homes	2/15/2017	HOME PERFORMANCE WITH ENERGY STAR, Fort Drum Lo..	23,425
Fort Schuyler Management Corporation	11/15/2016	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	338,075
Forteq North America Inc.	1/27/2017	Industrial Process Effic, Industrial Process Efficiency	38,547
Fourth Coast, Inc.	10/17/2016	<200KW PV, NY-Sun	32
	12/6/2016	<200KW PV, NY-Sun	424
	1/4/2017	<200KW PV, NY Sun	19,716
	2/9/2017	<200KW PV, NY Sun	5,936
	2/15/2017	<200KW PV, NY Sun	18,232
	3/21/2017	<200KW PV, NY Sun	19,928
	3/27/2017	<200KW PV, NY Sun	19,928
	3/31/2017	<200KW PV, NY Sun	9,856
Frederick A Proven	1/11/2017	<200KW PV, NY-Sun	6,320
Freedom Mechanical, LLC	1/27/2017	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Nort	16,000
	1/31/2017	RENEWABLE HEAT NY, Renewable Heating & Cooling	16,423
Freedom Solar Inc.	10/24/2016	<200KW PV, NY Sun	5,292
	2/16/2017	<200KW PV, NY Sun	5,460
	2/21/2017	<200KW PV, NY Sun	7,800
	3/28/2017	<200KW PV, NY Sun	6,760
	3/30/2017	<200KW PV, NY Sun	9,360
Friends Seminary	12/22/2016	NEW CONSTRUCTION PROGRAM, NCP13054-TownhousesR..	118,768
Frost Valley YMCA	11/28/2016	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	13,670
G. W. Lisk Co. Inc.	2/9/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	21,464

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
G.W. Ehrhart, Inc.	1/11/2017	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Cayu	41,000
		RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Robe	23,155
	2/22/2017	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Barb	225
Gard Tec Security Svcs., Inc.	10/26/2016	Security for West Valley offic	9,657
Gartner Inc.	11/16/2016	NYSERDA ADMINISTRATION, Gartner Renewal 2017-2018	34,261
	12/21/2016	NYSERDA ADMINISTRATION, Gartner Renewal 2017-2018	1,060
Gaseteria Oil Corp.	12/13/2016	FUEL NY, PGI00124 - Gaseteria Oil Corp.	46,914
		FUEL NY, PGI00222 - Gaseteria Oil Corp.	34,521
		FUEL NY, PGI00223 - Gaseteria Oil Corp.	34,281
		FUEL NY, PGI00227 - Gaseteria Oil Corp.	36,565
Gasoline Heaven	12/13/2016	FUEL NY, PGI00202 - Gasoline Heaven at	67,372
GCOM Software Inc.	10/19/2016	NYSERDA ADMINISTRATION, Staff Augmentation	267,150
	10/31/2016	NYSERDA ADMINISTRATION, Salesforce Government Cloud	28,274
	12/1/2016	NYSERDA ADMINISTRATION, Staff Augmentation	185,250
	1/11/2017	NYSERDA ADMINISTRATION, Salesforce Implementation	640,683
	1/25/2017	NYSERDA ADMINISTRATION, Staff Augmentation	185,250
	1/30/2017	NYSERDA ADMINISTRATION, Renewal: Salesforce.com	1,600,908
GDS Associates, Inc.	12/22/2016	OTHER PROGRAM AREA, Res Baseline Excel File Rework	49,279
Geatrain Engineering PLLC	10/21/2016	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Se..	32,500
George E Denmark II	10/4/2016	<200KW PV, NY-Sun	5,472
	12/22/2016	<200KW PV, NY Sun	5,568
	3/8/2017	<200KW PV, NY Sun	7,182
George J. Martin & Son	3/28/2017	<200KW PV, NY Sun	32,720
GES MEGAELEVEN, LLC	3/28/2017	>200KW PV, NY Sun	684,184
Gideon Putnam Hotel	12/7/2016	ENVIRONMENTAL RESEARCH, 2017 NERC Biennial Confere..	15,000
	3/23/2017	Low-Income Forum on Energy, 2017 LIFE Reg. Mtg.- Saratoga	7,000
Global Foundries U.S. Inc.	12/20/2016	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	339,661
Global Montello Group Corp.	11/15/2016	FUEL NY, PGI00028 - Global Montello Gro	65,169
		FUEL NY, PGI00034 - Global Montello Gr	74,607
	2/8/2017	FUEL NY, PGI00193 - Global Montello Gro	66,658
Global Resource Funding Partners LLC	11/17/2016	>200KW PV, NY-Sun	357,079
		NY-SUN, NY-Sun	1,590,008
		NY-SUN, Products	1,080,610
	2/27/2017	NY-SUN, NTP 2 JFK Bloomberg	574,529
Global Thermostat Operations LLC	2/14/2017	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	250,000
Gloversville Housing Authority	10/27/2016	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	38,000
Gloversville Public Library	12/14/2016	NEW CONSTRUCTION PROGRAM, NCP12672 - Gloversville ..	13,813
Go Solar/Green NY, LLC	10/6/2016	<200KW PV, NY Sun	7,848
	11/3/2016	<200KW PV, NY Sun	7,030
	2/16/2017	<200KW PV, NY Sun	8,175
Goldman Copeland Associates, P.C.	2/17/2017	Commercial Real Estate Ten, BBH 140 Broadway - CRE Tenant	11,000
		Commercial Real Estate Ten, VNO 330 West 34th St - CRE Ten	8,985
	2/23/2017	Commercial Real Estate Ten, JLL - 140 Broadway Generic CRE	7,494
Gomez and Sullivan Engineers, D.P.C.	10/31/2016	ENVIRONMENTAL RESEARCH, NYS Hydropower Database	48,949
Gove Group, Inc.	3/7/2017	Low-Income Forum on Energy, LIFE 2017 Reg Mtg Reg Services	19,886
Grabinski Solar LLC	3/28/2017	>200KW PV, NY Sun	1,045,803
Grand Island Solar, LLC	3/28/2017	>200KW PV, NY Sun	917,309
GRE Fund II Holdco LLC	11/23/2016	>200KW PV, NY-Sun	557,586
Great Brook Solar NRG, LLC	10/11/2016	<200KW PV, NY-Sun	27,059
Green & Healthy Homes Initiative, Inc	1/10/2017	Healthy Homes Feasibility, Healthy Homes Initiative	212,147
Green Hybrid Energy Solutions Inc.	10/6/2016	<200KW PV, NY-Sun	33,516
	1/5/2017	<200KW PV, NY Sun	10,212
	1/30/2017	<200KW PV, NY Sun	50,071
Green Light Energy Conservation	10/5/2016	EXISTING FACILITIES, EFP2143 - Greenlight Energy Co	84,325
Green Light New York, Inc.	12/16/2016	Prof & Expert Engagement, 2017 BEEEx Membershhip	50,000
Green Mountain Electric Supply, Inc.	10/11/2016	<200KW PV, NY-Sun	39,139

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Green Power Solutions, Inc.	1/17/2017	<200KW PV, NY Sun	8,873
Green Street Power Partners LLC	10/18/2016	<200KW PV, NY-Sun	5,069
	10/26/2016	<200KW PV, NY-Sun	57,212
	11/1/2016	<200KW PV, NY-Sun	9,284
	11/14/2016	<200KW PV, NY-Sun	8,012
	1/12/2017	<200KW PV, NY Sun	5,683
	2/1/2017	<200KW PV, NY-Sun	11,816
	3/13/2017	<200KW PV, NY Sun	13,385
	3/15/2017	<200KW PV, NY Sun	64,758
	3/21/2017	<200KW PV, NY Sun	82,612
	3/23/2017	<200KW PV, NY Sun	43,253
	3/27/2017	<200KW PV, NY Sun	42,029
	3/28/2017	<200KW PV, NY Sun	189,991
	3/30/2017	<200KW PV, NY Sun	84,728
	3/31/2017	<200KW PV, NY Sun	51,447
Greenhill Contracting Inc.	12/28/2016	Low Rise New Construction, Codes & New Construction	145,800
GreenLogic, LLC	11/7/2016	<200KW PV, NY Sun	6,540
	12/6/2016	<200KW PV, NY Sun	26,872
	12/20/2016	<200KW PV, NY Sun	9,788
Greenport Gardens Housing Developm..	10/12/2016	Low Rise New Construction, New Construction	60,600
Greenskies Renewable Energy LLC	1/3/2017	>200KW PV, NY-Sun	461,632
Greentech Media Inc.	11/30/2016	RENEWABLE THERMAL, Solar Research Service	28,995
		Subscription/Data Access, Grid Edge Research	30,000
GRID Alternatives Tri-State, Inc.	2/8/2017	<200KW PV, NY Sun	5,494
Grober Nutrition LLC	11/2/2016	NEW CONSTRUCTION PROGRAM, NCP13017 - Gladys	73,768
Group-S LLC	1/10/2017	EXISTING FACILITIES, EFP1805-Group S LLC dba En Pow	17,064
Guardian Industries Corporation	3/13/2017	Industrial Process Effic, Industrial Process Efficiency	568,470
H.E.L.P Development Corp.	1/17/2017	Multifam New Construction, MFNCP PPES T2-Crotona	69,400
Habitat for Humanity - New York City	1/17/2017	Low Rise New Construction, New Construction	26,000
Halcyon, Inc.	11/17/2016	<200KW PV, NY Sun	6,240
		<200KW PV, NY-Sun	5,088
	1/6/2017	<200KW PV, NY Sun	8,970
	1/31/2017	<200KW PV, NY Sun	44,744
Harris Beach PLLC	2/6/2017	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Out..	10,000
Harvest Power, LLC	10/18/2016	<200KW PV, NY-Sun	62,500
	11/14/2016	<200KW PV, NY Sun	19,530
	1/11/2017	<200KW PV, NY Sun	8,610
	1/19/2017	<200KW PV, NY Sun	14,910
	1/30/2017	<200KW PV, NY Sun	36,881
	2/16/2017	<200KW PV, NY Sun	16,990
	2/21/2017	<200KW PV, NY Sun	14,159
	3/13/2017	<200KW PV, NY-Sun	62,500
	3/30/2017	<200KW PV, NY Sun	5,120
Hawaii Energy Connection	10/13/2016	<200KW PV, NY-Sun	33,384
Heathcote Auto Sales & Leasing Corp	1/31/2017	FUEL NY, PGI00146 - Heathcote Auto Sal	45,200
HH 310 Rainbow LLC	10/21/2016	NEW CONSTRUCTION PROGRAM, NCP12990-NiagaraFallHo..	30,000
High Falls Operating Co, LLC	10/12/2016	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	50,000
High Peaks Solar	10/24/2016	<200KW PV, NY Sun	6,496
	1/18/2017	>200KW PV, NY Sun	999,593
	1/26/2017	<200KW PV, NY Sun	6,496
	3/8/2017	<200KW PV, NY Sun	5,568
	3/28/2017	<200KW PV, NY-Sun	5,940
Hills Construction Management, Inc.	3/8/2017	Low Rise New Construction, Codes & New Construction	5,500
Hodgson Russ LLP	2/13/2017	>200KW PV, RFP 3300 Outside Counsel Servi	10,000
Holland & Knight LLP	11/16/2016	NYSERDA ADMINISTRATION, RFP 3300 Outside Counsel Servi	85,355
	11/22/2016	Clean Energy Communities, Outsid Counsel for CCA	25,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Holland & Knight LLP	11/29/2016	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	11,890
	12/14/2016	LARGE SCALE RENEWABLES, RFP 3300 Outside Counsel Se..	77,894
	12/22/2016	LARGE SCALE RENEWABLES, RFP 3300 Outside Counsel Se..	86,751
	2/13/2017	ZEC:CES ZEC Pgm Non-Rec Exp, RFP 3300 Outside Counsel ..	30,000
	2/28/2017	ZEC:CES ZEC Pgm Non-Rec Exp, RFP 3300 Outside Counsel ..	36,585
Hollingsworth & Vose Company	10/17/2016	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	123,294
HOLT Architects PC	10/12/2016	NEW CONSTRUCTION PROGRAM, NCP14017 - HOLT Building	10,261
Home for Harlem Dowling Inc	10/11/2016	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	83,031
Homes for New Yorkers, Inc	1/17/2017	Multifam New Construction, MFNCP PHIUS T3-1675 Westch	300,000
Honeywell International Inc.	11/10/2016	RENEWABLE HEAT NY, RHNY Pellet Stove QA Services	43,540
	3/16/2017	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Q..	0
		HOME PERFORMANCE WITH ENERGY STAR, QA Services H..	48,000
	3/23/2017	Home Perf w Energy Star, Program Implementation Service	1,500,000
Hoosick Falls Central School District	10/6/2016	OTHER PROGRAM AREA, Equipment Purchase from HFCSD	126,100
Housing Visions Consultants, Inc.	3/17/2017	Low Rise New Construction, New Construction	24,000
Hudson Headwaters Health Network	12/22/2016	NEW CONSTRUCTION PROGRAM, NCP13010 - North Countr..	20,263
Hudson Solar	10/4/2016	<200KW PV, NY Sun	5,016
	10/25/2016	<200KW PV, NY Sun	6,278
	11/1/2016	<200KW PV, NY-Sun	7,296
	11/3/2016	<200KW PV, NY Sun	6,000
	11/7/2016	<200KW PV, NY-Sun	65,002
	11/9/2016	<200KW PV, NY-Sun	21,926
	11/21/2016	<200KW PV, NY Sun	48
	12/5/2016	<200KW PV, NY Sun	5,472
	12/15/2016	<200KW PV, NY-Sun	104
	12/19/2016	<200KW PV, NY Sun	5,244
	12/20/2016	<200KW PV, NY Sun	5,952
	12/28/2016	<200KW PV, NY-Sun	108
	1/10/2017	<200KW PV, NY Sun	5,472
	1/11/2017	<200KW PV, NY Sun	24,836
	1/12/2017	<200KW PV, NY-Sun	5,136
	1/17/2017	<200KW PV, NY Sun	5,280
	2/2/2017	<200KW PV, NY Sun	26,012
	2/14/2017	<200KW PV, NY Sun	5,016
	3/6/2017	<200KW PV, NY Sun	13,692
	3/8/2017	<200KW PV, NY Sun	8,704
3/13/2017	<200KW PV, NY Sun	9,380	
3/15/2017	<200KW PV, NY-Sun	5,694	
3/31/2017	<200KW PV, NY Sun	8,580	
Hudson Valley Hospital	1/17/2017	NEW CONSTRUCTION PROGRAM, NCP13047 - NYP Hudson..	52,539
Hunter Mountain Ski Bowl Inc.	2/23/2017	Industrial Process Effic, Industrial Process Efficiency	26,262
Hunts Point Apartments LP	11/8/2016	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	37,125
Hydronic Specialty Supply	10/4/2016	RENEWABLE HEAT NY, Smart Pre-Assembly for Boilers	283,700
ICF Resources, LLC	11/1/2016	EVALUATION, Eco. & Env. Impact Evaluation	63,492
	11/25/2016	EXISTING FACILITIES, Technical Review and Program S	2,926
	1/11/2017	CLEAN TRANSPORTATION, BCA of EV grid impacts	78,251
Idea Crossing, Inc.	12/6/2016	OTHER PROGRAM AREA, Application Management System	19,250
IGS Ventures, Inc.	3/8/2017	>200KW PV, NY Sun	95,106
IHS Global Inc.	3/28/2017	ENERGY ANALYSIS, Energy forecast subscription	33,235
IIA Quality Sevices, LLC	3/1/2017	NYSERDA ADMINISTRATION, Internal Audit Assessment	25,000
Industrial Economics, Incorporated	10/31/2016	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	98,973
	12/19/2016	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	39,647
Infinity Solar Systems, LLC	10/10/2016	<200KW PV, NY Sun	5,628
Infosys International Inc	3/23/2017	NYSERDA ADMINISTRATION, RFP3365 Private Cloud Hosting	861,843
Institute for Building Technology and Sa	12/19/2016	>200KW PV, NY-Sun Technical Support	45,000
IntelliGen Power Systems, LLC	12/1/2016	COMBINED HEAT AND POWER, CHPA - 4C Foods	726,000

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Intelligent Green Solutions	2/8/2017	RENEWABLE THERMAL, Renewable Heating & Cooling	3,329
Interaction Associates	11/4/2016	ENERGY ANALYSIS, Energy & Environmental Analysis	19,000
Intrinsiq Materials, Inc.	1/12/2017	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Adva..	391,717
Invenergy, LLC	11/3/2016	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	163,565,450
Inverters Unlimited, Inc.	12/5/2016	<200KW PV, NY Sun	9,114
IPPsolar Integration LLC	1/31/2017	<200KW PV, NY Sun	249,272
	2/27/2017	<200KW PV, NY Sun	46,933
Irving Tissue, Inc	1/24/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	95,086
Island Energy	1/25/2017	FUEL NY, PGI00117 - Island Energy	34,961
Island Hollow L.P.	10/12/2016	Low Rise New Construction, New Construction	85,400
Ithaca Neighborhood Housing Services, In	12/6/2016	Low Rise New Construction, Low/Moderate Income	48,000
	12/28/2016	Low Rise New Construction, Codes & New Construction	57,000
Ivy Lea Construction	10/27/2016	NEW CONSTRUCTION PROGRAM, NCP12961 - IvyLeaConstr..	6,467
Jasper Van den Munckhof	3/29/2017	Retrofit NY, RetrofitNY advisement	50,000
JCB Specialties, Inc.	1/9/2017	POLICY DEVELOPMENT, 2016 DPS NYS Fair Mini Fans	17,741
JCTOD Outreach, Inc.	12/6/2016	Low Rise New Construction, Codes & New Construction	29,000
Jewish Home of Rochester	10/19/2016	NEW CONSTRUCTION PROGRAM, NCP12720 - The Green H..	30,872
	1/12/2017	NEW CONSTRUCTION PROGRAM, NCP12489-JewishSeniorL..	31,434
Joan Raiselis	3/8/2017	Low Rise New Construction, Codes & New Construction	5,500
John Siegenthaler	12/21/2016	WORKFORCE DEVELOPMENT, RFP 3165 Hydronic System D..	58,000
John W.Danforth Co, Inc.	3/13/2017	EXISTING FACILITIES, EFP2176-John Danforth - Monroe	17,415
Johnson Controls Inc.	3/9/2017	Flexible Tech Assistance, FlexTech Consultant Selection	24,837
	3/21/2017	Flexible Tech Assistance, FlexTech Consultant Selection	70,794
Josh Packaging	10/5/2016	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	236,000
Joule Assets Inc	1/6/2017	CLEANER GREENER COMMUNITIES, CGC57954 - Joule Ass..	460,000
Kaleida Health	3/17/2017	NEW CONSTRUCTION PROGRAM, NCP13061 - Flint Lab Ren..	27,593
Kapsch TrafficCom Transportation NA I..	12/30/2016	CLEAN TRANSPORTATION, Corporate Name Change	499,179
Kasselman Solar LLC	10/6/2016	<200KW PV, NY-Sun	5,016
	11/7/2016	<200KW PV, NY-Sun	15,720
	11/22/2016	<200KW PV, NY-Sun	5,934
	11/28/2016	<200KW PV, NY Sun	13,108
	12/5/2016	<200KW PV, NY Sun	6,844
	12/15/2016	<200KW PV, NY Sun	6,552
	12/28/2016	<200KW PV, NY Sun	580
	1/3/2017	<200KW PV, NY-Sun	42,149
	1/11/2017	<200KW PV, NY Sun	6,112
	1/12/2017	<200KW PV, NY Sun	7,424
	1/17/2017	<200KW PV, NY Sun	5,336
	1/19/2017	<200KW PV, NY Sun	5,104
	1/20/2017	<200KW PV, NY Sun	28,768
	1/24/2017	<200KW PV, NY Sun	5,104
	1/31/2017	<200KW PV, NY Sun	65,000
	2/14/2017	<200KW PV, NY Sun	5,712
	2/28/2017	<200KW PV, NY Sun	6,048
	3/1/2017	<200KW PV, NY Sun	5,568
	3/20/2017	<200KW PV, NY Sun	5,104
	3/23/2017	<200KW PV, NY Sun	13,612
Katonah Lewisboro UFSD	3/21/2017	EXISTING FACILITIES, EFP2452-Katonah-Lewisboro Scho	47,241
Kearns & West, Inc.	11/23/2016	REC:CES REC Pgm Non-Rec Exp, LSR siting support	50,000
Kelleher Samets Volk	3/6/2017	Multifam Performance Pgm, Marketing Support for NYSERDA	1,121,751
	3/8/2017	NY-SUN, Marketing Support for NYSERDA	3,500,000
	3/16/2017	Home Perf w Energy Star, Marketing Support for NYSERDA	50,000
		NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	8,000
Kevin J Creamer	12/23/2016	<200KW PV, NY Sun	36,346
Kilowatt Engineering, Inc.	10/27/2016	Commercial Real Estate Ten, FlexTech Consultant Selection	333,333
	11/10/2016	EXISTING FACILITIES, Technical Review and Program S	18,546

**Contracts Executed**  
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<b>Contractor</b>	<b>Date Encumbered</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Kilowatt Engineering, Inc.</b>	12/15/2016	EXISTING FACILITIES, Technical Review and Program S	3,052
	2/10/2017	Industrial Process Effic, Technical Review and Program S	4,062
	2/23/2017	Industrial Process Effic, Technical Review and Program S	7,343
<b>Kilowatt Financial, LLC</b>	10/6/2016	<200KW PV, NY-Sun	5,963
	3/1/2017	<200KW PV, NY Sun	5,096
	3/7/2017	<200KW PV, NY Sun	5,376
<b>Kingston City School District</b>	1/31/2017	NEW CONSTRUCTION PROGRAM, NCP12313 - Salzmann Bu..	168,616
<b>Kirchhoff Green Energy, LLC</b>	10/3/2016	<200KW PV, NY-Sun	6,624
	1/20/2017	<200KW PV, NY Sun	10,000
<b>Kool-Temp Heating &amp; Cooling</b>	1/25/2017	<200KW PV, NY Sun	8,704
<b>KPMG LLP</b>	12/15/2016	NYSERDA ADMINISTRATION, Audit services	533,000
<b>L&amp;S Energy Services, Inc.</b>	10/4/2016	Industrial Process Effic, Technical Review and Program S	3,830
	10/5/2016	Industrial Process Effic, Technical Review and Program S	13,030
	10/13/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	10/18/2016	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	95,867
	10/25/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/28/2016	Commercial Real Estate Ten, FlexTech Consultant Selection	333,333
	11/1/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	11/4/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	11/25/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	11/28/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	11/29/2016	EVALUATION, GtB- Evaluation	42,814
	12/15/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	12/28/2016	>200KW PV, Technical Review and Program S	150,000
	12/29/2016	Industrial Process Effic, Technical Review and Program S	8,080
	1/9/2017	NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	67,150
	1/10/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Flexible Tech Assistance, Technical Review and Program S	335,000
		FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and ..	335,000
		REV CAMPUS CHALLENGE, Technical Review and Program S	30,001
	1/11/2017	Industrial Process Effic, Technical Review and Program S	6,529
	1/18/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	1/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	2/6/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/10/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,985
	2/21/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/22/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	2/23/2017	Industrial Process Effic, Technical Review and Program S	9,873
	2/28/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	8,500
	3/3/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,500
	3/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
	3/16/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	3/27/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	EXISTING FACILITIES, Technical Review and Program S	10,994	
<b>LaBella Associates, P.C.</b>	10/3/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/13/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Industrial Process Effic, Technical Review and Program S	5,885
	11/17/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/5/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/29/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	1/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	1/26/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/10/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	3/16/2017	Industrial Process Effic, Technical Review and Program S	4,505
<b>Lake Breeze Fruit Farms Inc</b>	2/28/2017	>200KW PV, NY Sun	359,253

**Contracts Executed**  
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Launch New York, Inc.	1/20/2017	Prof & Expert Engagement, Launch NY Sponsorship	25,000
LC DRives	12/16/2016	CLEAN TRANSPORTATION, Advanced Transportation Tech	50,000
Leeward Living, LLC	3/9/2017	Low Rise New Construction, NYSEDA Administration	5,500
Leon Petroleum	11/10/2016	FUEL NY, PGI00029 - Leon Petroleum	72,619
Level Solar Inc.	10/26/2016	<200KW PV, NY-Sun	6,840
	11/22/2016	<200KW PV, NY-Sun	5,130
	3/21/2017	<200KW PV, NY Sun	7,308
Lewis Custom Homes, Inc.	10/12/2016	Low Rise New Construction, New Construction	26,800
	1/9/2017	>200KW PV, NY-Sun	1,010,952
Lewis Engineering, P.C.	11/21/2016	OTHER PROGRAM AREA, Energy & Environmental Analysis	13,150
Liberty Affordable Housing, Inc.	1/17/2017	Low Rise New Construction, Codes & New Construction	38,000
LiDestri Foods, Inc.	1/27/2017	Industrial Process Effic, Industrial Process Efficiency	97,255
Lifetime Housing Development Corp.	10/12/2016	Low Rise New Construction, Codes & New Construction	54,600
Lockheed Martin NE & SS	3/20/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	213,961
Loeb & Loeb LLP	1/19/2017	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	132,899
Long Island Power Solutions	2/1/2017	<200KW PV, NY Sun	46,483
Long Island Progressive Coalition	1/11/2017	CLEANER GREENER COMMUNITIES, GJGNY Outreach CBO	220,204
Lotus Energy, Inc.	10/4/2016	<200KW PV, NY Sun	9,936
	11/8/2016	<200KW PV, NY Sun	6,048
	1/12/2017	<200KW PV, NY-Sun	5,616
	2/1/2017	<200KW PV, NY Sun	6,164
Low-Level Radioactive Waste Forum, In..	12/22/2016	NYSEDA ADMINISTRATION, LLW Forum Annual Dues	5,000
Lowe's Home Centers Inc	11/2/2016	Commercial New Construc, NCP15006 - Lowe's of Yonkers	48,369
LPCiminelli, Inc.	3/28/2017	NEW YORK ENERGY STAR HOMES, New Construction	228,500
Luthin Associates, Inc.	1/24/2017	REV CAMPUS CHALLENGE, C&I Buildings Outreach	187,760
M.J. Bradley & Associates	12/22/2016	CLEAN TRANSPORTATION, BCA of EV grid impacts	75,287
M/E Engineering, P.C.	10/13/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/14/2016	NEW CONSTRUCTION PROGRAM, M/E - EMP	15,550
	10/18/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	10/31/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	11/28/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/6/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/15/2016	NEW CONSTRUCTION PROGRAM, M/E - EMP	12,800
	12/22/2016	Industrial Process Effic, Technical Review and Program S	7,225
	1/18/2017	Commercial New Construc, M/E - EMP	7,325
	1/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
2/6/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500	
		Commercial New Construc, M/E - EMP	27,400
Malta Development Company Inc	1/18/2017	NEW YORK ENERGY STAR HOMES, New Construction	5,000
Malverne Gas Inc.	2/27/2017	FUEL NY, PGI00247 - Malverne Gas Inc.	21,233
Manhattan Country School	12/22/2016	NEW CONSTRUCTION PROGRAM, NCP12913 - Manhattan C..	9,850
Marist College	1/12/2017	NEW CONSTRUCTION PROGRAM, NCP12746-MaristCollege..	100,213
Mastercard International	3/17/2017	Commercial New Construc, NCP15000 - MasterCard HQ-OFLT	26,277
Matriarch Development Company	12/14/2016	NEW CONSTRUCTION PROGRAM, NCP12648 - 101 Wolfs La..	8,850
Maurice Petroleum LLC	10/27/2016	FUEL NY, PGI00070 - Maurice Petroleum L	74,966
Max Solar Inc	2/6/2017	<200KW PV, NY Sun	7,480
MCA SERVICE CORP	3/16/2017	FUEL NY, PGI00205 - MCA Service Corp.	35,700
Meadows Senior Living L.P.	3/28/2017	NEW YORK ENERGY STAR HOMES, New Construction	233,500
Meister Consultants Group, Inc.	12/22/2016	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ren..	55,000
	3/2/2017	NY-SUN, NY-SUN PVBOS Training and Educ	82,046
Mental Health Association of	12/28/2016	Low Rise New Construction, Codes & New Construction	60,600
Merlin Larsen	3/8/2017	Low Rise New Construction, New Construction	5,500
Micatu, Inc.	1/26/2017	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	1,000,000
Michaels Energy, Inc.	3/17/2017	Industrial Process Effic, RFQ 3183 Michaels Energy	300,000
Midstate Printing Corp	10/20/2016	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	143,082
Mill Rock Owners Corp	12/29/2016	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	74,000



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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Milton P. Enstine & Sons, Inc.	2/8/2017	FUEL NY, PGI00110 - Milton P. Enstine &	13,505
mindSHIFT Technologies, Inc.	3/27/2017	NYSERDA ADMINISTRATION, Hosting Cloud Solutions	36,718
MJW Technical Services, Inc.	11/15/2016	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protect..	453,405
	3/27/2017	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protect..	929,577
MLK Plaza LLC	1/17/2017	Multifam New Construction, PPES T2 MLK Plaza	100,000
Monolith Solar Associates, LLC	10/13/2016	<200KW PV, NY-Sun	132
	10/21/2016	<200KW PV, NY-Sun	204
	11/1/2016	<200KW PV, NY-Sun	6,240
	11/7/2016	<200KW PV, NY Sun	5,332
	11/14/2016	<200KW PV, NY Sun	10,260
	11/16/2016	<200KW PV, NY-Sun	4,992
	11/25/2016	<200KW PV, NY-Sun	82
	12/2/2016	<200KW PV, NY-Sun	294
	12/5/2016	<200KW PV, NY Sun	7,168
	12/15/2016	<200KW PV, NY Sun	200
		<200KW PV, NY-Sun	96
	12/28/2016	<200KW PV, NY-Sun	96
	1/10/2017	<200KW PV, NY-Sun	62,600
	1/13/2017	<200KW PV, NY Sun	740
	1/19/2017	<200KW PV, NY Sun	15,288
	1/30/2017	<200KW PV, NY Sun	7,056
		<200KW PV, NY-Sun	12,160
	2/2/2017	<200KW PV, NY Sun	55,310
	2/8/2017	<200KW PV, NY Sun	127,000
	3/23/2017	<200KW PV, NY Sun	5,280
	3/27/2017	<200KW PV, NY Sun	102,018
Monroe County	10/20/2016	EXISTING FACILITIES, EFP2627 - County of Monroe	143,398
Montreign Operating Company LLC	1/27/2017	NEW CONSTRUCTION PROGRAM, NCP13163 - Montreign Re..	640,352
Mosholu Petro Realty LLC	10/27/2016	FUEL NY, PGI00068 - Mosholu Petro Real	72,135
MOVE Systems International, LLC	1/3/2017	CLEAN TRANSPORTATION, Ambulance Anti-Idling Stations	384,980
	1/6/2017	CLEAN TRANSPORTATION, food truck charging pedestals	129,376
MPW Enterprises LLC	10/24/2016	FUEL NY, PGI00082 - MPW Enterprises LLC	24,750
Mukti 77 Petroleum Inc	2/24/2017	FUEL NY, PGI00210 - Mukti 77 Petroleu	48,319
Mukti 148 Petroleum Inc	2/8/2017	FUEL NY, PGI00286 - Mukti 148 Petroleum	91,850
Mukti E 163rd Petroleum Inc	2/7/2017	FUEL NY, PGI00290 - Mukti E 163rd Petro	115,000
National Oilheat Research Alliance	10/25/2016	ADVANCED BUILDINGS, Tankless Coil Boilers	40,338
	2/3/2017	ADVANCED BUILDINGS, Advanced Buildings Technology	59,663
Navigant Consulting Inc.	12/23/2016	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	105,226
Neighborhood Housing Services of Jamaica	1/11/2017	CLEANER GREENER COMMUNITIES, Green Jobs Green New..	35,269
		GJGNY REVOLVING LOAN FUND, Green Jobs Green New Yo..	476
Neighborhood Housing Services Staten..	1/11/2017	GJGNY REVOLVING LOAN FUND, Green Jobs Green New Yo..	37,470
Neighborhood Innovations, Inc	3/29/2017	Low Rise New Construction, New Construction	58,300
NESCAUM	12/22/2016	RENEWABLE HEAT NY, Mobile Woodsmoke PM Monitoring	50,000
	1/9/2017	RENEWABLE HEAT NY, Tech Assist, REV Pool	180,000
NESEA	10/13/2016	Commercial Real Estate Ten, 2016 NESEA Sponsorship	3,750
		Multifam Performance Pgm, 2016 NESEA Sponsorship	7,500
		Real Time Enrgy Management, 2016 NESEA Sponsorship	3,750
Netanium Inc	3/6/2017	Check Point Webair for NEIS	73,524
	3/8/2017	Checkpoint Firewall Upgrade	27,627
Network Experts of New York, Inc.	10/14/2016	NYSERDA ADMINISTRATION, Helpdesk Technician	120,000
	2/13/2017	NYSERDA ADMINISTRATION, Hlve Manager 2017 - 2018	6,500
	3/27/2017	NYSERDA ADMINISTRATION, Peoplesoft Admin.	160,000
New Buildings Institute, Inc.	1/6/2017	Prof & Expert Engagement, 2016 Sponsorship of NBI	25,000
	2/3/2017	ADVANCED ENERGY CODES, NYStretch	50,000
New York Academy of Sciences	2/15/2017	EVALUATION, Innovation and Business Develo	150,000
		OTHER PROGRAM AREA, Innovation and Business Develo	248,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
New York Battery and Energy Storage	1/10/2017	CLEAN TRANSPORTATION, NYS Energy Storage Outreach	150,000
New York Geothermal Energy Organizat..	1/31/2017	RENEWABLE HEAT NY, 2017 NY-GEO Conf. Sponsorship	5,000
New York Power Authority	10/6/2016	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSER..	29,863
	3/27/2017	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSER..	218,746
New York Presbyterian Hospital	1/11/2017	EXISTING FACILITIES, EFP2196 - New York Presbyteria	231,677
New York Solar Energy Industries Asso..	1/25/2017	COMBINED HEAT AND POWER, CHP Conference/Expo Prom..	5,000
New York State Police	1/17/2017	NEW CONSTRUCTION PROGRAM, NCP12386 - NYS Police ..	5,469
New York State Solar Farm Inc.	10/28/2016	<200KW PV, NY Sun	7,344
	11/1/2016	<200KW PV, NY Sun	5,120
	11/10/2016	<200KW PV, NY Sun	6,932
	12/23/2016	<200KW PV, NY Sun	5,226
New York University	10/6/2016	EXISTING FACILITIES, EFP0089 - NYU	11,002
	10/28/2016	EXISTING FACILITIES, EFP/DMP2299 - NYU	1,344,164
	12/29/2016	EXISTING FACILITIES, EFP1763 - NYU College of Denti	55,000
Newcastle Home Construction	3/9/2017	Low Rise New Construction, New Construction	5,000
Newport Ventures, Inc.	2/8/2017	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	3,500
Nexant, Incorporated	10/13/2016	EXISTING FACILITIES, Technical Review and Program S	2,916
	10/20/2016	EXISTING FACILITIES, Technical Review and Program S	29,764
	11/28/2016	EXISTING FACILITIES, Technical Review and Program S	3,984
	12/22/2016	Industrial Process Effic, Technical Review and Program S	10,182
nfrastructure	10/4/2016	Network Upgrade - Cisco	253,987
	12/28/2016	NYSERDA ADMINISTRATION, nFrastructure-NE-Architect	38,205
	2/28/2017	Equipment to Support Network	8,280
	3/22/2017	NYSERDA ADMINISTRATION, Tintri T620 Support, 29 Months	17,189
Nickels Energy Solutions LLC	1/18/2017	<200KW PV, NY-Sun	5,184
NIRAS A/S	12/22/2016	Off-Shore Wind Master Plan, Large-Scale Renewables	50,000
Nixon Peabody LLP	12/23/2016	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	125,000
NJP Consulting Inc.	11/21/2016	<200KW PV, NY Sun	6,720
	1/3/2017	<200KW PV, NY Sun	6,400
	1/5/2017	<200KW PV, NY Sun	6,720
Nor Spring Service Station Inc.	1/27/2017	FUEL NY, PGI00291 - Nor Spring Service	83,175
Nor-Cross Service Station Inc	1/20/2017	FUEL NY, PGI00207 - Nor-Cross Service	70,000
Norbut Farm LLC	3/9/2017	>200KW PV, NY Sun	1,062,226
Noresco LLC	10/7/2016	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Se..	18,085
Normandy Owners Corporation	1/30/2017	Flexible Tech Assistance, FT11529 - Orsid Realty - Norma	25,000
Norstar Solar LLC	2/13/2017	>200KW PV, NY Sun	911,181
	3/28/2017	>200KW PV, NY Sun	927,395
North Harbor Energy, LLC	11/21/2016	ANAEROBIC DIGESTER, North Harbor Dairy Digester	2,000,000
Northbrook New York, LLC	11/14/2016	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	9,649,800
Northco Products, Inc.	12/23/2016	NYSERDA ADMINISTRATION, Konica Minolta Copier	10,000
Northeast Agriculture Technology Corpora	2/1/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/21/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/22/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/27/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
Northeast Clean Heat & Power Initiative	1/18/2017	COMBINED HEAT AND POWER, CHP Conference/Expo Prom..	6,000
Northeast Energy Efficiency Partnershi..	12/22/2016	Prof & Expert Engagement, NEEP's 2016 Membership	25,000
NorthWrite Inc.	3/3/2017	Real Time Enrgy Management, Jim Diamond -42 Memorial- RT..	15,726
Norwood-Norfolk Central School District	2/8/2017	NEW CONSTRUCTION PROGRAM, NCP12920 - Norwood Nor..	50,666
Nostrand Place LLC	11/2/2016	NEW CONSTRUCTION PROGRAM, NCP12792 - 2361 Norstra..	28,178
Novel Approaches Solar Applications, LLC	10/4/2016	<200KW PV, NY-Sun	504
	11/25/2016	<200KW PV, NY Sun	5,544
	3/1/2017	<200KW PV, NY Sun	12,168
	3/8/2017	<200KW PV, NY Sun	5,712
Novus Engineering, P.C.	11/17/2016	Flexible Tech Assistance, FlexTech Consultant Selection	7,981
	11/18/2016	Flexible Tech Assistance, FlexTech Consultant Selection	7,409
	1/18/2017	NEW CONSTRUCTION PROGRAM, Energy Modeling Partner	16,024

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Novus Engineering, P.C.	1/25/2017	NEW CONSTRUCTION PROGRAM, Energy Modeling Partner	10,375
	1/26/2017	REV CAMPUS CHALLENGE, FlexTech Consultant Selection	36,508
	2/6/2017	NEW CONSTRUCTION PROGRAM, Energy Modeling Partner	20,170
NYS Department of Transportation	12/22/2016	NEW CONSTRUCTION PROGRAM, NCP11456-RochesterInter..	20,715
NYS Dept of Corrections &	12/14/2016	NEW CONSTRUCTION PROGRAM, NCP13137 - Coxsackie C..	9,098
	1/17/2017	NEW CONSTRUCTION PROGRAM, NCP13104 - Upstate Train..	8,371
NYS Office For Technology	3/21/2017	NYSERDA ADMINISTRATION, O365 Point to Point Circuit	11,232
NYS Office of Mental Health	11/2/2016	EXISTING FACILITIES, EFP2296 - NYS Office of Mental	178,473
NYS Office of Parks, Recreation and	12/9/2016	<200KW PV, NY Sun	52,196
	2/14/2017	<200KW PV, NY Sun	12,992
	3/9/2017	<200KW PV, NY Sun	37,562
O'Connell Electric Company	10/4/2016	<200KW PV, NY-Sun	29,888
	1/25/2017	<200KW PV, NY Sun	7,300
	1/31/2017	<200KW PV, NY Sun	5,368
	2/2/2017	<200KW PV, NY Sun	24,716
Occupations, Inc.	12/16/2016	NEW YORK ENERGY STAR HOMES, New Construction	216,000
	1/6/2017	Low Rise New Construction, Codes & New Construction	73,800
		Low Rise New Construction, New Construction	66,600
OK Petroleum Distribution Corp	10/7/2016	FUEL NY, PGI00089 - OK Petroleum Distri	67,186
		FUEL NY, PGI00090 - OK Petroleum Distri	79,430
		FUEL NY, PGI00091 - OK Petroleum Distri	69,776
	2/3/2017	FUEL NY, PGI00161 - OK Petroleum Distri	86,392
	2/9/2017	FUEL NY, PGI00092 - OK Petroleum Distri	79,430
		FUEL NY, PGI00196 - OK Petroleum Distri	85,144
	3/6/2017	FUEL NY, PGI00160 - OK Petroleum Distri	79,641
OLA Consulting Engineers, P.C.	10/14/2016	Commercial New Construc, Energy Modeling Partner - OLA	22,975
	10/18/2016	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Se..	20,405
	12/22/2016	Flexible Tech Assistance, FlexTech Consultant Selection	18,575
OLEDWorks LLC	3/17/2017	ADVANCED BUILDINGS, OLED Panel and Luminiare	50,000
Olympic Tower Condominium	2/24/2017	Flexible Tech Assistance, FT11541 - Olympic Towers - 641	13,000
Omni-Navitas - MAP-ES NY LLC	2/28/2017	>200KW PV, NY Sun	1,776,879
	3/8/2017	>200KW PV, NY Sun	1,824,347
Omniafiltra	2/17/2017	Industrial Process Effic, Industrial Process Efficiency	46,954
Omnicap Group, LLC	12/5/2016	GJGNY REVOLVING LOAN FUND, Financial Advisory Services	375,000
	12/22/2016	NEW YORK GREEN BANK, Financial Advisory Services	65,000
	1/18/2017	NEW YORK GREEN BANK, Financial Advisory Services	5,500
	2/1/2017	NEW YORK GREEN BANK, Financial Advisory Services	8,500
OneEnergy Development LLC	1/25/2017	>200KW PV, NY Sun	1,011,084
	3/13/2017	>200KW PV, NY Sun	1,213,301
	3/28/2017	>200KW PV, NY Sun	975,416
Oneida County	12/16/2016	NEW CONSTRUCTION PROGRAM, NCP12945-Oneida Count..	6,455
Oneida Public Library	11/2/2016	NEW CONSTRUCTION PROGRAM, NCP11088 - Oneida Publi..	13,391
OnForce Solar	1/18/2017	>200KW PV, NY Sun	734,786
	1/19/2017	<200KW PV, NY Sun	13,029
	3/9/2017	<200KW PV, NY Sun	37,592
	3/15/2017	<200KW PV, NY Sun	37,133
	3/27/2017	<200KW PV, NY Sun	37,592
Open Energy Efficiency Inc.	12/13/2016	EVALUATION, Testing Open EE Meter	37,400
Oracle America, Inc.	2/24/2017	NYSERDA ADMINISTRATION, Oracle Peoplesoft 2017 - 2018	53,598
Orange and Rockland Utilities, Inc.	3/23/2017	SMART GRID SYSTEMS, EPTD Smart Grid	1,075,002
Orange Avenue Apartments LLC	2/14/2017	Multifam New Construction, Codes & New Construction	37,400
ORE F4 ProjectCo, LLC	10/25/2016	<200KW PV, NY Sun	6,098
	11/28/2016	<200KW PV, NY Sun	5,720
	12/9/2016	<200KW PV, NY Sun	5,035
OwnBackup Inc.	12/14/2016	NYSERDA ADMINISTRATION, Salesforce Backup Solution	20,948
OwnSolar, LLC	2/23/2017	NY-SUN, NY-Sun	349,301

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Packer Collegiate Institute	1/27/2017	NEW CONSTRUCTION PROGRAM, NCP13181 - Packer Early ..	5,824	
Pactiv Corp.	3/31/2017	Industrial Process Effic, Industrial Process Efficiency	138,387	
Paradise Energy Solutions, LLC	10/24/2016	<200KW PV, NY Sun	6,448	
	11/23/2016	<200KW PV, NY Sun	26,852	
	12/28/2016	<200KW PV, NY Sun	88	
	1/9/2017	<200KW PV, NY Sun	5,828	
	1/10/2017	<200KW PV, NY Sun	16,384	
	1/17/2017	<200KW PV, NY Sun	28,064	
	1/25/2017	<200KW PV, NY Sun	248	
	1/26/2017	<200KW PV, NY Sun	5,580	
		<200KW PV, NY-Sun	5,624	
	1/30/2017	<200KW PV, NY Sun	33,086	
	3/27/2017	<200KW PV, NY Sun	48,968	
Park Monroe II Rehab HDFC	10/28/2016	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	114,300	
	11/10/2016	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	80,250	
Pathfinder Engineers & Architects, LLP	10/14/2016	NEW CONSTRUCTION PROGRAM, Pathfinder - EMP	9,104	
	12/19/2016	Commercial New Construc, Pathfinder - EMP	57,903	
Pathstone Corporation	1/4/2017	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York	68,037	
Pawling Corporation	10/26/2016	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	25,512	
People United for Sustainable Housing ..	1/11/2017	GJGNY REVOLVING LOAN FUND, Green Jobs Green New Yo..	126,163	
Petrogas Group	3/13/2017	FUEL NY, PGI00235 - Petrogas Group US	70,000	
		FUEL NY, PGI00237 - Petrogas Group US I	70,000	
Pinsu Inc.	3/22/2017	FUEL NY, PGI00206 - Pinsu Inc.	34,425	
PMG Northeast LLC	10/27/2016	FUEL NY, PGI00017 - PMG Northeast LLC	59,516	
		FUEL NY, PGI00018 - PMG Northeast LLC	63,826	
		FUEL NY, PGI00019 - PMG Northeast LLC	71,313	
		FUEL NY, PGI00021 - PMG Northeast LLC	53,921	
		FUEL NY, PGI00023 - PMG Northeast LLC	71,035	
		FUEL NY, PGI00024 - PMG Northeast LLC	63,773	
		FUEL NY, PGI00047 - PMG Northeast LLC	47,485	
		FUEL NY, PGI00048 - PMG Northeast LLC	65,126	
		FUEL NY, PGI00049 - PMG Northeast LLC	66,287	
		FUEL NY, PGI00050 - PMG Northeast LLC	69,918	
		FUEL NY, PGI00054 - PMG Northeast LLC	70,796	
		FUEL NY, PGI00055 - PMG Northeast LLC	75,416	
		FUEL NY, PGI00057 - PMG Northeast LLC	84,278	
		FUEL NY, PGI00074 - PMG Northeast LLC	61,313	
		FUEL NY, PGI00075 - PMG Northeast LLC	67,793	
		FUEL NY, PGI00076 - PMG Northeast LLC	57,644	
		FUEL NY, PGI00077 - PMG Northeast LLC	67,582	
		FUEL NY, PGI00078 - PMG Northeast LLC	78,193	
		FUEL NY, PGI00080 - PMG Northeast LLC	63,179	
		FUEL NY, PGI00081 - PMG Northeast LLC	56,090	
		FUEL NY, PGI00128 - PMG Northeast LLC	64,195	
		FUEL NY, PGI00129 - PMG Northeast LLC	75,208	
		10/28/2016	FUEL NY, PGI00020 - PMG Northeast LLC	52,085
			FUEL NY, PGI00056 - PMG Northeast LLC	67,534
			FUEL NY, PGI00130 - PMG Northeast LLC	60,479
			FUEL NY, PGI00136 - PMG Northeast LLC	65,102
			FUEL NY, PGI00162 - PMG Northeast LLC	69,821
		FUEL NY, PGI00164 - PMG Northeast LLC	64,142	
		FUEL NY, PGI00167 - PMG Northeast LLC	57,029	
		FUEL NY, PGI00172 - PMG Northeast LLC	65,514	
		FUEL NY, PGI00179 - PMG Northeast LLC	67,989	
		FUEL NY, PGI00180 - PMG Northeast LLC	58,564	
		FUEL NY, PGI00197 - PMG Northeast LLC	73,332	

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
PMG Northeast LLC	10/28/2016	FUEL NY, PGI00199 - PMG Northeast LLC	53,006
		FUEL NY, PGI00203 - PMG Northeast LLC	65,289
	12/19/2016	FUEL NY, PGI00139 - PMG Northeast LLC	59,356
	3/9/2017	FUEL NY, PGI00046 - PMG Northeast LLC	52,166
		FUEL NY, PGI00137 - PMG Northeast LLC	83,568
		FUEL NY, PGI00178 - PMG Northeast LLC	65,378
		FUEL NY, PGI00181 - PMG Northeast LLC	78,004
		FUEL NY, PGI00182 - PMG Northeast LLC	75,754
		FUEL NY, PGI00186 - PMG Northeast LLC	74,066
		FUEL NY, PGI00198 - PMG Northeast LLC	67,188
FUEL NY, PGI00200 - PMG Northeast LLC		66,977	
Port Authority of NY/NJ	3/20/2017	NEW CONSTRUCTION PROGRAM, NCP10354 - Stewart Inter..	20,934
PosiGen LLC	11/16/2016	<200KW PV, NY-Sun	5,728
Power Management Co., LLC	11/29/2016	<200KW PV, NY Sun	8,004
Praveen Amar	12/15/2016	ENVIRONMENTAL RESEARCH, Environmental Research Scie..	40,000
President Container Group II, LLC	3/13/2017	Industrial Process Effic, Industrial Process Efficiency	83,444
Prima Terra Properties LLC	3/8/2017	NEW CONSTRUCTION PROGRAM, NCP14035 - Hampton Inn ..	44,787
PRIME Coalition Inc.	11/2/2016	OTHER PROGRAM AREA, PRIME Event Sponsorship	9,000
PS21, Inc	3/21/2017	NEW CONSTRUCTION PROGRAM, NCP13176 - Black Box Th..	11,201
Pterra, LLC	10/20/2016	DER Integration(Intrcnect), FlexTech Consultant Selection	150,000
PTS Data Center Solutions Inc	3/20/2017	Industrial Process Effic, Industrial Process Efficiency	29,257
Public Policy and Education Fund of NY	2/2/2017	GJGNY REVOLVING LOAN FUND, Green Jobs Green New Yo..	43,634
Queens Center REIT, LLC	1/25/2017	FUEL CELLS, RPS FC - Macerich Mall meter #	1,260,000
	1/27/2017	FUEL CELLS, RPS FC - Macerich Mall meter #	1,260,000
Quixotic Systems, Inc.	1/19/2017	<200KW PV, NY Sun	32,504
QwikSolar, LLC	10/6/2016	<200KW PV, NY-Sun	15,360
	10/18/2016	<200KW PV, NY-Sun	7,200
	10/27/2016	<200KW PV, NY Sun	6,600
	10/28/2016	<200KW PV, NY Sun	12,000
	12/14/2016	<200KW PV, NY Sun	7,440
	1/3/2017	<200KW PV, NY-Sun	6,880
	1/6/2017	<200KW PV, NY Sun	34,016
	1/18/2017	<200KW PV, NY-Sun	8,800
	1/20/2017	<200KW PV, NY Sun	5,376
	2/2/2017	<200KW PV, NY Sun	34,232
	2/6/2017	<200KW PV, NY Sun	1,674
	2/14/2017	<200KW PV, NY Sun	9,720
	3/15/2017	<200KW PV, NY Sun	5,824
	3/29/2017	<200KW PV, NY Sun	5,376
3/31/2017	<200KW PV, NY Sun	19,440	
R & A Petroleum Corp	2/13/2017	FUEL NY, PGI00214 - R & A Petroleum Cor	70,000
R3 Energy Management Audit & Review..	3/22/2017	Real Time Enrgy Management, P Clabby-110 East 59th St-RTE..	19,710
Randstad North America, L.P.	10/3/2016	NEW YORK GREEN BANK, Temp Services	35,707
		NYSERDA ADMINISTRATION, Temp Services	44,188
	10/5/2016	NYSERDA ADMINISTRATION, Temp Services Contract	18,798
	10/7/2016	NYSERDA ADMINISTRATION, Temp Services Contract	18,837
	10/19/2016	EVALUATION, Temp Services	58,500
	11/2/2016	NY-SUN, Temp Services	61,000
	11/28/2016	NYSERDA ADMINISTRATION, Temp Services	55,263
	12/1/2016	NYSERDA ADMINISTRATION, Temp Services Contract	97,918
	12/6/2016	NY-SUN, Temp Services Contract	18,525
	12/7/2016	NEW YORK GREEN BANK, Temp Services	109,522
		NYSERDA ADMINISTRATION, Temp Services Contract	80,975
	12/16/2016	NEW YORK GREEN BANK, Temporary Services	57,213
	12/20/2016	NYSERDA ADMINISTRATION, Temp Services Contract	15,966
	1/3/2017	NEW YORK GREEN BANK, Temp Services	87,760

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Randstad North America, L.P.	1/9/2017	NY-SUN, Temp Services Contract	23,538
	1/19/2017	>200KW PV, Temp Services Contract	4,050
	1/25/2017	NYSERDA ADMINISTRATION, Temporary Services	48,750
	2/15/2017	NYSERDA ADMINISTRATION, Temp Services Contract	3,010
	2/21/2017	NY-SUN, Temporary Services	49,803
	3/3/2017	NYSERDA ADMINISTRATION, Temporary Services	31,444
	3/17/2017	NYSERDA ADMINISTRATION, Temp Services Contract	18,428
	3/23/2017	NYSERDA ADMINISTRATION, Temp Services Contract	63,843
	3/27/2017	NYSERDA ADMINISTRATION, Temp Services Contract	19,744
Rasky Baerlein Strategic Communicatio..	10/24/2016	NYSERDA ADMINISTRATION, Communications Services for Re	2,692
Real Goods Energy Tech, Inc	3/9/2017	<200KW PV, NY Sun	22,544
Regional Economic Models, Inc	12/5/2016	ENERGY ANALYSIS, REMI Fee and License	6,000
Regional Greenhouse Gas Initiative, Inc.	2/14/2017	ENERGY ANALYSIS, Energy & EnvironmentalAnalysis	902,790
Renovus Energy, Inc.	10/6/2016	<200KW PV, NY-Sun	12,544
	10/28/2016	<200KW PV, NY Sun	14,296
	11/1/2016	<200KW PV, NY Sun	16,896
	11/7/2016	<200KW PV, NY Sun	26,000
	11/21/2016	<200KW PV, NY Sun	6,912
	12/27/2016	<200KW PV, NY-Sun	648
	1/5/2017	<200KW PV, NY-Sun	5,472
	1/18/2017	>200KW PV, NY Sun	184,495
	2/9/2017	<200KW PV, NY Sun	7,424
	3/6/2017	<200KW PV, NY Sun	10,000
	3/8/2017	>200KW PV, NY Sun	213,391
	3/9/2017	<200KW PV, NY Sun	39,272
	3/15/2017	<200KW PV, NY Sun	48,215
	3/24/2017	<200KW PV, NY Sun	16,048
3/31/2017	<200KW PV, NY Sun	10,000	
Rensselaer Polytechnic Institute	2/17/2017	Greenhouse Light & Systems Eng, Industrial & Agriculture	1,880,000
Research Foundation of SUNY	2/6/2017	NEW CONSTRUCTION PROGRAM, NCP11296 - Zero Energy ..	192,366
Research Foundation of The City	11/2/2016	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Birn..	50,000
Research Into Action, Inc.	2/7/2017	Rmve Barriers Dist Enrgy Storg, Research Into Action TWO	136,716
	3/17/2017	Clean Energy Communities, Research Into Action TWO	263,558
Rich & Gardner Construction Co., Inc.	10/12/2016	Low Rise New Construction, Codes & New Construction	39,000
	3/21/2017	Low Rise New Construction, New Construction	56,000
Richmond University Medical Center	3/13/2017	COMBINED HEAT AND POWER, CHP Perform Incentive-PON ..	2,600,000
Ridgewood Bushwick Sr. Citizens Coun..	1/17/2017	Multifam New Construction, PHIUS T3 Atlantic	225,500
Rimple Inc	1/9/2017	FUEL NY, PGI00217 - Rimple Inc.	70,000
Ringlead, Inc.	1/27/2017	NYSERDA ADMINISTRATION, RingLead Software - 3 years	49,000
Robert O Gurman	1/26/2017	NEW YORK GREEN BANK, Gurman Contract Consulting	50,000
	2/13/2017	SMART GRID SYSTEMS, NY Prize Stage 2 Scope of Wk	15,000
	3/1/2017	SMART GRID SYSTEMS, NY Prize Stage 2 Scope of Wk	7,500
Rochester Institute of Technology	12/14/2016	NEW CONSTRUCTION PROGRAM, NCP14064 - Global Villag..	20,583
Rockefeller University	2/28/2017	NEW CONSTRUCTION PROGRAM, NCP12664 - River Campus	329,533
Rohan Development LLC	2/14/2017	Multifam New Construction, MFNC-577 West 161st	54,000
Rosenblum Rubin Property Services, LLC	11/21/2016	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Propert..	3,536
	1/25/2017	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Propert..	65,580
Ross Site Development,Corp	12/14/2016	NEW CONSTRUCTION PROGRAM, NCP12993 - Bailey Street ..	5,470
Ross Solar Group, LLC	1/30/2017	<200KW PV, NY Sun	25,520
Royal Petroleum Management Inc	11/7/2016	FUEL NY, PGI00194 - Royal Petroleum Man	66,088
Rudin Management Co. Inc.	10/31/2016	MARKET PATHWAYS, CRETP - Rudin Management - 345	140,000
	12/1/2016	EXISTING FACILITIES, EFP2334 - Rudin Mgmt - 2 loca	65,516
Rural Ulster Preservation Company	1/6/2017	Low Rise New Construction, New Construction	53,000
	1/11/2017	CLEANER GREENER COMMUNITIES, Green Jobs Green New..	94,625
RXR Realty LLC	12/1/2016	EXISTING FACILITIES, EFP2479 - RXR Realty - Multi	13,967
RXR SL Owner LLC	11/17/2016	EXISTING FACILITIES, EFP2007 - RXR Realty - Starre	100,757

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Safari Energy LLC	10/7/2016	NY-SUN, New York Sun Competitive PV	45,964
	2/2/2017	<200KW PV, NY Sun	62,072
SAP	11/30/2016	NEW CONSTRUCTION PROGRAM, NCP12768-SAP Office	98,270
Saratoga Springs Housing Authority	10/19/2016	Multifam Performance Pgm, Multifamily	39,600
Scott Shipley	3/9/2017	<200KW PV, NY-Sun	5,184
Sea Bright Solar, LLC	11/1/2016	<200KW PV, NY Sun	5,069
	11/28/2016	<200KW PV, NY Sun	5,559
Seakill, Inc.	3/2/2017	Low Rise New Construction, Codes & New Construction	7,500
Seed Renewables Inc.	10/14/2016	<200KW PV, NY Sun	5,130
Semrock, Inc.	2/1/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial & Agriculture	49,891
Seneca Nation	12/28/2016	>200KW PV, NY Sun	705,279
Sentry Air Systems, Inc.	10/25/2016	NYSERDA ADMINISTRATION, Corporate Marketing	6,009
SHI, Inc.	2/13/2017	NYSERDA ADMINISTRATION, ADA-Compliance Subscription	15,544
	2/17/2017	NYSERDA ADMINISTRATION, SQL Diagnostic Manager	10,902
	2/27/2017	NYSERDA ADMINISTRATION, Embarcadero Support 17 - 18	9,966
Sierra Infosys Inc.	12/1/2016	NYSERDA ADMINISTRATION, Peoplesoft Support Services	13,800
Silver Lining Solar	10/21/2016	<200KW PV, NY-Sun	56,503
	1/18/2017	<200KW PV, NY Sun	59,233
	3/28/2017	<200KW PV, NY Sun	2,839
Siteimprove, Inc.	3/20/2017	NYSERDA ADMINISTRATION, Siteimprove Renewal 17-20	17,916
Sive Paget & Riesel PC	2/1/2017	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outsid..	7,500
Skadden, Arps, Slate, Meagher & Flom LL	11/29/2016	Green Bank Outside Legal Couns	34,340
	12/9/2016	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	21,511
SL Green Realty Corp.	3/31/2017	EXISTING FACILITIES, EFP2285 - SL Green Realty Corp	9,895
SLGreen	3/31/2017	EXISTING FACILITIES, EFP2290 - 555 W 57 St Tenants	63,200
		EXISTING FACILITIES, EFP2291 - Reckson Associates -	16,234
Smarter Grid Solutions	3/21/2017	DER Integration(Intrcnct), PON 3404 DER Integration	99,440
Solar and Wind FX, Inc. (Chris Schaefer)	3/23/2017	<200KW PV, NY Sun	6,832
Solar Dad and Sons Inc	11/1/2016	<200KW PV, NY-Sun	41,350
Solar Energy Systems, LLC	3/8/2017	<200KW PV, NY Sun	70,415
Solar Generation, Inc.	12/2/2016	<200KW PV, NY Sun	6,700
	2/10/2017	<200KW PV, NY Sun	6,400
	2/21/2017	<200KW PV, NY Sun	7,680
	2/22/2017	<200KW PV, NY Sun	6,300
Solar Liberty Energy Systems, Inc	10/6/2016	<200KW PV, NY Sun	13,800
	10/27/2016	<200KW PV, NY Sun	5,828
	11/3/2016	<200KW PV, NY-Sun	11,300
		>200KW PV, NY-Sun C&I	125,588
	11/16/2016	<200KW PV, NY Sun	6,552
	11/25/2016	<200KW PV, NY Sun	168
	12/6/2016	<200KW PV, NY-Sun	552
	1/4/2017	<200KW PV, NY Sun	7,182
	1/9/2017	<200KW PV, NY Sun	6,426
	1/13/2017	<200KW PV, NY Sun	108
	1/20/2017	<200KW PV, NY Sun	7,192
	1/26/2017	<200KW PV, NY Sun	16,348
	1/30/2017	<200KW PV, NY Sun	5,304
	2/1/2017	<200KW PV, NY-Sun	5,802
	2/6/2017	<200KW PV, NY Sun	10,878
	2/14/2017	<200KW PV, NY Sun	5,100
	2/23/2017	<200KW PV, NY Sun	15,318
	2/24/2017	<200KW PV, NY Sun	5,640
	3/1/2017	<200KW PV, NY Sun	6,076
3/9/2017	<200KW PV, NY Sun	35,225	
3/15/2017	<200KW PV, NY Sun	25,412	
3/23/2017	<200KW PV, NY Sun	102	

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Solar Maximum LLC	12/20/2016	<200KW PV, NY Sun	5,184	
	1/11/2017	<200KW PV, NY Sun	25,137	
Solar One, Inc.	11/9/2016	<200KW PV, NY-Sun	5,700	
	11/29/2016	<200KW PV, NY-Sun	5,700	
	2/9/2017	<200KW PV, NY Sun	8,190	
Solar Promotion International GmbH	2/24/2017	NY-SUN, 2017 Intersolar Summit USAEast	25,000	
Solar Provider Group LLC	12/1/2016	>200KW PV, NY Sun	1,348,883	
SolarCity Corporation	10/14/2016	<200KW PV, NY Sun	4,190	
	10/24/2016	<200KW PV, NY Sun	13,101	
	11/1/2016	<200KW PV, NY Sun	5,997	
	11/3/2016	<200KW PV, NY Sun	10,991	
	11/23/2016	<200KW PV, NY Sun	5,118	
	11/29/2016	<200KW PV, NY Sun	5,458	
	12/2/2016	<200KW PV, NY Sun	1,114	
	12/9/2016	<200KW PV, NY Sun	41,270	
	12/14/2016	<200KW PV, NY Sun	10,868	
	1/6/2017	<200KW PV, NY Sun	5,292	
	1/10/2017	<200KW PV, NY Sun	8,064	
	1/11/2017	<200KW PV, NY Sun	5,304	
	1/12/2017	<200KW PV, NY Sun	11,313	
	1/18/2017	<200KW PV, NY Sun	5,466	
			>200KW PV, NY Sun	239,005
	1/26/2017	<200KW PV, NY Sun	6,784	
	1/27/2017	<200KW PV, NY Sun	5,410	
	2/2/2017	<200KW PV, NY Sun	5,922	
	2/10/2017	<200KW PV, NY Sun	5,264	
	2/28/2017	<200KW PV, NY Sun	5,554	
	3/2/2017	<200KW PV, NY Sun	6,496	
	3/3/2017	<200KW PV, NY Sun	6,402	
	3/8/2017	>200KW PV, NY Sun	828,428	
	3/13/2017	>200KW PV, NY Sun	3,832,944	
	3/14/2017	<200KW PV, NY Sun	7,868	
	3/21/2017	<200KW PV, NY-Sun	66,308	
	3/22/2017	<200KW PV, NY Sun	7,067	
	3/28/2017	<200KW PV, NY Sun	5,160	
			>200KW PV, NY Sun	2,781,102
	3/29/2017	>200KW PV, NY Sun	938,817	
	3/30/2017	<200KW PV, NY Sun	8,316	
		>200KW PV, NY Sun	3,540,965	
3/31/2017	<200KW PV, NY Sun	5,725		
Sologistics, LLC	12/14/2016	NYSERDA ADMINISTRATION, Salesforce CRM Implementation	200,000	
Soundview Apartments Associates, LP	11/9/2016	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,500	
South Street Seaport Limited Partnersh..	10/19/2016	NEW CONSTRUCTION PROGRAM, NCP13189 - Pier 17	40,459	
Spencer Van Etten Central School Distr..	12/22/2016	EXISTING FACILITIES, EFP2477 - Spencer Van Etten	76,122	
SRM Fuel Corp	3/7/2017	FUEL NY, PGI00071 - SRM Fuel Corp.	89,365	
St. John's University	3/10/2017	REV CAMPUS CHALLENGE, REV CC - Roadmaps	153,360	
Stantec Consulting Services, Inc.	12/7/2016	NEW CONSTRUCTION PROGRAM, Stantec-Energy Modeling ..	13,830	
	12/15/2016	Commercial New Construc, Stantec-Energy Modeling Partne	13,980	
	3/22/2017	Commercial New Construc, Stantec-Energy Modeling Partne	15,176	
Star 260 Realty LLC	3/6/2017	FUEL NY, PGI00229 - Star 260 Realty LLC	70,000	
		FUEL NY, PGI00232 - Star 260 Realty LLC	70,000	
State University of New York College	10/12/2016	NEW CONSTRUCTION PROGRAM, NCP12157-RedJacketDini..	15,232	
Steed Energy LLC	12/19/2016	<200KW PV, NY Sun	6,624	
Sterling Molded Products	12/14/2016	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	95,104	
Steven Winter Associates, Inc.	10/14/2016	NEW CONSTRUCTION PROGRAM, Technical Assistance Serv..	18,725	
	11/10/2016	NEW CONSTRUCTION PROGRAM, Technical Review and Pro..	19,096	



## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Steven Winter Associates, Inc.	2/6/2017	Commercial New Construc, SWA - EMP	17,086
Stony Brook Foundation - Advanced En..	3/8/2017	OTHER PROGRAM AREA, 2018 Advanced Energy Conf	100,000
STR Systems NY, LLC	1/17/2017	<200KW PV, NY-Sun	5,760
Stratford Arms Housing LP	12/7/2016	Multifam Performance Pgm, Multifamily	9,225
Sullivan County	11/22/2016	NEW CONSTRUCTION PROGRAM, NCP14042 - Sullivan Cou..	57,881
Summit Research Labs Inc	10/26/2016	Industrial Process Effic, Industrial Process Efficiency	129,143
Sun Rock Development, LLC	2/6/2017	NEW YORK ENERGY STAR HOMES, New Construction	19,000
Sun Source Technologies	10/6/2016	<200KW PV, NY Sun	9,810
	10/24/2016	<200KW PV, NY Sun	8,550
	11/16/2016	<200KW PV, NY Sun	6,496
	12/15/2016	<200KW PV, NY-Sun	756
	12/28/2016	<200KW PV, NY-Sun	6
	1/17/2017	<200KW PV, NY-Sun	5,550
	3/6/2017	<200KW PV, NY Sun	68,860
	3/27/2017	<200KW PV, NY Sun	8,928
sun8 PDC LLC	1/19/2017	>200KW PV, NY Sun	8,994,606
	1/25/2017	>200KW PV, NY Sun	7,321,191
	1/30/2017	>200KW PV, NY Sun	4,811,069
	2/3/2017	>200KW PV, NY Sun	627,531
	2/9/2017	>200KW PV, NY Sun	705,366
	2/10/2017	>200KW PV, NY Sun	1,255,061
	2/13/2017	>200KW PV, NY Sun	2,510,123
	3/28/2017	>200KW PV, NY Sun	3,380,637
SuNation Solar Systems, Inc.	10/13/2016	<200KW PV, NY Sun	98,580
		<200KW PV, NY-Sun	245,845
	11/23/2016	<200KW PV, NY Sun	5,336
	12/1/2016	<200KW PV, NY-Sun	26,758
	1/6/2017	<200KW PV, NY Sun	6,004
	1/30/2017	<200KW PV, NY Sun	6,435
	2/16/2017	<200KW PV, NY Sun	13,169
	3/27/2017	<200KW PV, NY Sun	9,805
SunEdison Holdings Corporation	12/6/2016	NY-SUN, Products	1,464,096
Sungevity, Inc.	11/1/2016	<200KW PV, NY Sun	10,608
	11/29/2016	<200KW PV, NY Sun	5,472
Sunlight General Capital LLC	2/2/2017	<200KW PV, NY Sun	53,071
SunPower Capital, LLC	10/10/2016	<200KW PV, NY Sun	10,382
	10/13/2016	<200KW PV, NY Sun	6,269
	10/14/2016	<200KW PV, NY Sun	5,150
	10/20/2016	<200KW PV, NY Sun	5,896
	10/21/2016	<200KW PV, NY Sun	154,903
	10/24/2016	<200KW PV, NY Sun	6,131
	10/26/2016	<200KW PV, NY Sun	5,703
	10/28/2016	<200KW PV, NY Sun	10,000
	11/1/2016	<200KW PV, NY Sun	38,767
	11/3/2016	<200KW PV, NY Sun	13,456
	11/4/2016	<200KW PV, NY Sun	10,769
	11/7/2016	<200KW PV, NY Sun	5,040
	11/8/2016	<200KW PV, NY Sun	10,580
		<200KW PV, NY-Sun	12,388
	11/9/2016	<200KW PV, NY Sun	15,348
	11/10/2016	<200KW PV, NY Sun	10,000
	11/16/2016	<200KW PV, NY Sun	39,260
	11/21/2016	<200KW PV, NY Sun	15,158
	11/22/2016	<200KW PV, NY Sun	16,550
	11/23/2016	<200KW PV, NY-Sun	6,649
	11/29/2016	<200KW PV, NY Sun	6,849

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
SunPower Capital, LLC	12/2/2016	<200KW PV, NY Sun	5,226
	12/7/2016	<200KW PV, NY Sun	5,106
		<200KW PV, NY-Sun	4,121
	12/14/2016	<200KW PV, NY Sun	5,520
	12/19/2016	<200KW PV, NY Sun	5,142
	12/23/2016	<200KW PV, NY Sun	8,442
	1/5/2017	<200KW PV, NY Sun	6,164
	1/12/2017	<200KW PV, NY Sun	7,800
	1/23/2017	<200KW PV, NY Sun	13,134
	1/25/2017	<200KW PV, NY Sun	22,926
	1/26/2017	<200KW PV, NY Sun	7,314
	1/30/2017	<200KW PV, NY Sun	5,244
	2/6/2017	<200KW PV, NY Sun	23,399
	2/7/2017	<200KW PV, NY Sun	7,153
	2/16/2017	<200KW PV, NY-Sun	5,539
	2/22/2017	<200KW PV, NY Sun	5,520
	3/2/2017	<200KW PV, NY Sun	5,494
	3/16/2017	<200KW PV, NY Sun	5,244
	3/20/2017	<200KW PV, NY Sun	6,409
	3/23/2017	<200KW PV, NY Sun	16,164
	3/27/2017	<200KW PV, NY Sun	5,989
	3/28/2017	<200KW PV, NY Sun	6,336
	3/29/2017	<200KW PV, NY Sun	12,446
	3/30/2017	<200KW PV, NY Sun	12,402
	3/31/2017	<200KW PV, NY Sun	6,323
	SunPower SolarProgram 1, LLC	2/6/2017	<200KW PV, NY Sun
SUNRISE ELECTRICAL SERVICES	3/8/2017	<200KW PV, NY-Sun	10,920
Sunrise Solar Solutions, LLC	10/21/2016	>200KW PV, NY-Sun C&I	287,838
	11/8/2016	<200KW PV, NY Sun	7,040
	11/10/2016	<200KW PV, NY Sun	5,490
	11/16/2016	<200KW PV, NY Sun	6,100
	1/5/2017	<200KW PV, NY Sun	10,080
		<200KW PV, NY-Sun	718
	1/25/2017	<200KW PV, NY Sun	9,681
	1/30/2017	<200KW PV, NY Sun	18,228
SunRun, Inc	10/13/2016	<200KW PV, NY Sun	5,388
	10/14/2016	<200KW PV, NY Sun	16,850
	10/21/2016	<200KW PV, NY Sun	14,024
	10/24/2016	<200KW PV, NY Sun	14,260
	10/26/2016	<200KW PV, NY Sun	5,425
	10/28/2016	<200KW PV, NY Sun	12,865
	11/1/2016	<200KW PV, NY Sun	6,045
	11/3/2016	<200KW PV, NY Sun	10,588
	11/10/2016	<200KW PV, NY Sun	5,735
	11/16/2016	<200KW PV, NY Sun	7,128
	11/17/2016	<200KW PV, NY Sun	6,200
	11/21/2016	<200KW PV, NY Sun	5,115
	11/22/2016	<200KW PV, NY Sun	6,009
	12/2/2016	<200KW PV, NY-Sun	104
	1/4/2017	<200KW PV, NY Sun	5,606
	1/12/2017	<200KW PV, NY Sun	5,828
	1/31/2017	<200KW PV, NY Sun	5,828
	3/23/2017	<200KW PV, NY Sun	7,068
SunWood Systems LLC	11/18/2016	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	5,358
SUNY - ESF	1/9/2017	ENVIRONMENTAL RESEARCH, Stat. Assess. Loon Monitoring	49,962
	3/6/2017	RENEWABLE HEAT NY, Environmental Research	30,000

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
SUNY Cobleskill	1/27/2017	NEW CONSTRUCTION PROGRAM, NCP13045 - Home Econo..	5,360
SUNY College of Environmental Scienc..	1/11/2017	Flexible Tech Assistance, FT11519 - SUNY College of Envi	62,300
SUNY Oneonta	2/8/2017	NEW CONSTRUCTION PROGRAM, NCP12788 - Welcome Ce..	7,444
SUNY Oswego	3/2/2017	NEW CONSTRUCTION PROGRAM, NCP12908 - Scales Resid..	19,913
SUNY Research Foundation	3/10/2017	Low Rise New Construction, 2017 NYS Green Bldg Conf	2,625
		Multifam New Construction, 2017 NYS Green Bldg Conf	2,625
Sustainable Energy Advantage, LLC	3/13/2017	REC:CES REC Pgm Non-Rec Exp, Large Scales Renewables T..	103,708
		REC:CES REC System Dev Costs, Large Scales Renewables T..	196,289
Sustainable Energy Developments Inc.	10/13/2016	<200KW PV, NY Sun	9,072
	10/17/2016	<200KW PV, NY Sun	128
	10/21/2016	<200KW PV, NY Sun	6,264
	10/25/2016	<200KW PV, NY Sun	6,048
	11/10/2016	<200KW PV, NY Sun	5,832
	11/16/2016	<200KW PV, NY Sun	6,174
	12/19/2016	<200KW PV, NY Sun	9,504
	12/28/2016	<200KW PV, NY Sun	6,912
	1/4/2017	SMALL WIND, Wind Turbine Incentive	7,539
	1/10/2017	<200KW PV, NY Sun	26,186
	1/20/2017	<200KW PV, NY Sun	6,048
	1/25/2017	<200KW PV, NY Sun	130,000
	2/24/2017	<200KW PV, NY Sun	6,204
	3/27/2017	<200KW PV, NY Sun	65,000
Sustainable Performance Consulting, Inc.	12/29/2016	Commercial New Construc, Outrch and Pjct Consulting NCP	45,000
		NEW CONSTRUCTION PROGRAM, Outrch and Pjct Consultin..	705,000
Suten Inc	2/3/2017	FUEL NY, PGI00257 - Suten Inc.	80,000
Swiss Re Management (US) Corporation	3/9/2017	>200KW PV, NY Sun	1,703,211
Syncarpha Whitehall LLC	12/7/2016	NY-SUN, NY-Sun	865,139
	12/28/2016	>200KW PV, NY-Sun	790,133
Syracuse Community Hotel Restoration..	11/3/2016	NEW CONSTRUCTION PROGRAM, NCP12740 - Hotel Syracu..	163,586
Syracuse Label & Surround Printing	2/9/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	104,483
Syracuse University	10/3/2016	NextGen HVAC, 2016 Syracuse CoE Symposium	10,000
	3/16/2017	ENERGY ANALYSIS, CL Assessment for lakes stream	24,458
Syska Hennessy Group	1/26/2017	Flexible Tech Assistance, FlexTech Consultant Selection	29,000
	3/22/2017	Commercial New Construc, Syska - EMP	10,850
Systems Management Planning, Inc.	1/27/2017	NYSERDA ADMINISTRATION, NetAppRenewal2240	15,162
	1/31/2017	NYSERDA ADMINISTRATION, VMWare Airwatch - 2017 - 2018	7,657
	2/28/2017	NYSERDA ADMINISTRATION, Webex Services - Renewal 17-..	25,101
T.McElligott, Inc.	12/16/2016	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	14,789
Taconic Renewable Energy Solutions In..	1/12/2017	<200KW PV, NY Sun	6,254
Taitem Engineering, P.C.	10/7/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/31/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	11/10/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	11/16/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	11/22/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,999
	12/15/2016	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	8,498
	12/23/2016	<200KW PV, NY Sun	7,063
	12/30/2016	Solar Thermal, Technical Review and Program S	39,817
	1/11/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/2/2017	<200KW PV, NY Sun	5,400
	2/3/2017	<200KW PV, NY Sun	5,184
		Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/22/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/28/2017	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	173,375
	3/9/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	3/21/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	3/27/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	9,000

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Tech Valley Talent, LLC	10/19/2016	NYSERDA ADMINISTRATION, Staff Augmentation	260,000
	11/30/2016	NYSERDA ADMINISTRATION, Information Security Services	191,100
	1/25/2017	NYSERDA ADMINISTRATION, Staff Augmentation	391,950
	2/23/2017	NYSERDA ADMINISTRATION, Staff Augmentation	97,500
	3/16/2017	NYSERDA ADMINISTRATION, Staff Augmentation	196,875
	3/22/2017	NYSERDA ADMINISTRATION, Staff Augmentation	518,390
	3/30/2017	NYSERDA ADMINISTRATION, Staff Augmentation	167,700
Technology Professionals Group Inc.	11/4/2016	NYSERDA ADMINISTRATION, IT Advisory Services - ECM	26,760
Tecogen	10/31/2016	COMBINED HEAT AND POWER, CHPA - 261 Hudson	180,000
		COMBINED HEAT AND POWER, CHPA - 520 West 30th Street	198,000
		COMBINED HEAT AND POWER, CHPA - Silver Towers	198,000
	12/19/2016	COMBINED HEAT AND POWER, CHPA - Glenn Gardens	385,000
	2/28/2017	COMBINED HEAT AND POWER, CHPA - Interfaith Medical Cent	612,000
	3/8/2017	COMBINED HEAT AND POWER, CHPA - Aron Hall	180,000
	3/9/2017	COMBINED HEAT AND POWER, CHPA - Spring Creek	216,000
	3/13/2017	COMBINED HEAT AND POWER, CHPA - Atrium Center	216,000
	3/29/2017	COMBINED HEAT AND POWER, CHPA - 260 Herkimer	69,300
		COMBINED HEAT AND POWER, CHPA - Fairview	561,000
	COMBINED HEAT AND POWER, CHPA - Surf 21	561,000	
Tern Construction & Development, LLC	12/28/2016	Low Rise New Construction, New Construction	62,000
	1/17/2017	Low Rise New Construction, New Construction	58,400
Terremark Federal Group, LLC	10/31/2016	NYSERDA ADMINISTRATION, Enterprise ECloud - Renewal	65,928
Tessy Plastics Corp	1/24/2017	Industrial Process Effic, Industrial Process Efficiency	350,504
TF Cornerstone QW 4 GC, LLC	1/20/2017	EXISTING FACILITIES, EFP2403 - TF Cornerstone Inc -	186,201
The Business Council of NYS, Inc.	2/1/2017	NYSERDA ADMINISTRATION, Renewal of Membership	5,706
The Cadmus Group, Inc.	2/6/2017	On-Site Energy Manager, RFQ 3183 The Cadmus Group Inc	212,803
		Strategic Energy Manager, RFQ 3183 The Cadmus Group Inc	212,803
The Center for Urban Community Servi..	3/10/2017	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	120,600
The Gap, Inc.	3/3/2017	EXISTING FACILITIES, EFP2553-The Gap Inc. - The Gap	330,136
The Gunlocke Company	2/23/2017	Industrial Process Effic, Industrial Process Efficiency	585,238
The Jericho Project	10/17/2016	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	90,000
The Levy Partnership, Inc.	2/1/2017	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	374,014
The Logue Group	10/4/2016	WEST VALLEY DEVELOPMENT PROGRAM, Facilitation Servi..	67,803
The Mathworks, Inc.	11/30/2016	ENERGY ANALYSIS, Software License	8,600
The New York Times Company	11/23/2016	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	17,174
The Radiant Store	1/30/2017	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Kopa	10,000
	1/31/2017	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Sura	10,000
	3/13/2017	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Pine	10,000
The Renewables Consulting Group, LLC	11/7/2016	Off-Shore Wind Pre-Dev Act, Technical Support for OSW Mast	50,000
The Research Foundation of SUNY (UB)	3/21/2017	REV CAMPUS CHALLENGE, REV Campus Challenge	1,000,000
The Weidt Group, Inc.	10/14/2016	Commercial New Construc, EMP - Weidt	11,515
Thomas Paino	3/8/2017	Low Rise New Construction, New Construction	5,500
	10/14/2016	NEW CONSTRUCTION PROGRAM, Thornton Tomasetti-EMP	13,995
Thornton Tomasetti, Inc.	3/16/2017	Commercial New Construc, Thornton Tomasetti-EMP	18,119
	11/21/2016	Industrial Process Effic, Industrial Process Efficiency	223,093
		INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	46,952
TM Montante Solar Developments, LLC	12/5/2016	<200KW PV, NY Sun	37,424
	1/18/2017	>200KW PV, NY Sun	292,117
	1/30/2017	<200KW PV, NY Sun	30,164
Town of Elizabethtown	1/25/2017	COMMUNITY SOLAR, Solarize 2017	5,000
Traco Manufacturing, Inc.	2/23/2017	Industrial Process Effic, Industrial Process Efficiency	15,722
Trane	2/16/2017	Real Time Enrgy Management, 310 Prospect Park West - RTEM	26,036
	3/13/2017	EXISTING FACILITIES, EFP2598 - Trane; Keuka College	3,626
	3/22/2017	Real Time Enrgy Management, CtrSynagogue-652Lexington-R..	65,214
TRC Energy Services	11/18/2016	Flexible Tech Assistance, Technical Review and Program S	58,505
		FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and ..	180,000

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
TRC Energy Services	11/25/2016	EXISTING FACILITIES, Technical Review and Program S	1,800
	12/27/2016	Workforce Industry Partnership, Technical Review and Program..	250,000
	1/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
		Industrial Process Effic, Technical Review and Program S	4,260
	1/26/2017	Industrial Process Effic, Technical Review and Program S	4,950
	1/30/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/23/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	4,667
	3/9/2017	EXISTING FACILITIES, Technical Review and Program S	4,238
	3/16/2017	Industrial Process Effic, Technical Review and Program S	3,165
	3/17/2017	EXISTING FACILITIES, Technical Review and Program S	4,323
Tree of Life 164, LLC	12/14/2016	Multifam New Construction, MFNCP PHIUS T3-Tree of Life	300,000
Triad Technology Partners LLC	12/13/2016	NYSERDA ADMINISTRATION, Tableau Desktop 2016 - 2017	5,937
Triangle Electrical Systems, Inc.	1/20/2017	<200KW PV, NY Sun	8,352
Trinity Heating & Air, Inc.	12/12/2016	<200KW PV, NY Sun	11,960
	12/15/2016	<200KW PV, NY Sun	5,096
	1/9/2017	<200KW PV, NY Sun	6,608
Trinity NY Development LLC	1/20/2017	Multifam New Construction, MFNCP PHIUS T3-425 Grand C	300,000
Trisul Inc	10/31/2016	FUEL NY, PGI00145 - Trisul Inc.	54,700
Troy Boiler Works, Inc.	11/21/2016	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	19,097
Two Plus Four Construction Co., Inc.	12/6/2016	Low Rise New Construction, New Construction	55,400
	3/17/2017	Low Rise New Construction, Codes & New Construction	32,000
U.S. Department of Energy/Wv	10/19/2016	WEST VALLEY DEVELOPMENT PROGRAM, FFY 2017 WVDP..	7,600,000
U.S. Department of the Interior	11/30/2016	Off-Shore Wind Master Plan, BOEM Bid Deposit	450,000
U.S. Green Building Council, NY Chapter	1/9/2017	NextGen HVAC, Buildings Product Research	50,000
U.S. Nuclear Regulatory Commission	12/22/2016	WEST VALLEY DEVELOPMENT PROGRAM, PO Payment of ..	250,000
UGE USA Inc.	3/8/2017	>200KW PV, NY Sun	200,090
Union College	12/1/2016	NEW CONSTRUCTION PROGRAM, NCP11519 - Humanities B..	21,752
Unique Comp Inc.	10/14/2016	NYSERDA ADMINISTRATION, Staff Augmentation	204,360
	11/25/2016	NYSERDA ADMINISTRATION, Staff Augmentation	270,400
	12/1/2016	NYSERDA ADMINISTRATION, Staff Augmentation	251,680
Unison Enterprises	3/8/2017	Low Rise New Construction, Codes & New Construction	5,500
United Health Services Hospitals Inc	10/6/2016	EXISTING FACILITIES, Commercial	297,142
	10/20/2016	Industrial Process Effic, Industrial Process Efficiency	31,729
United Renewable Energy	11/8/2016	<200KW PV, NY Sun	65,000
United Wind Project I, LLC	10/3/2016	SMALL WIND, Wind Turbine Incentive	40,193
	10/13/2016	SMALL WIND, Wind Turbine Incentive	160,926
	11/10/2016	SMALL WIND, Wind Turbine Incentive	238,605
	11/21/2016	SMALL WIND, Wind Turbine Incentive	79,353
	12/6/2016	SMALL WIND, Wind Turbine Incentive	37,409
	12/19/2016	SMALL WIND, Wind Turbine Incentive	36,770
	12/22/2016	SMALL WIND, Wind Turbine Incentive	39,437
	1/19/2017	SMALL WIND, Wind Turbine Incentive	120,987
	2/2/2017	SMALL WIND, Wind Turbine Incentive	41,902
	2/16/2017	SMALL WIND, Wind Turbine Incentive	157,467
	2/17/2017	SMALL WIND, Wind Turbine Incentive	40,675
	2/23/2017	SMALL WIND, Wind Turbine Incentive	40,240
	2/28/2017	SMALL WIND, Wind Turbine Incentive	40,519
	3/28/2017	SMALL WIND, Wind Turbine Incentive	76,342
	3/29/2017	SMALL WIND, Wind Turbine Incentive	39,600
United Wind, Inc.	11/10/2016	SMALL WIND, Wind Turbine Incentive	38,030
University at Albany	11/22/2016	NEW CONSTRUCTION PROGRAM, NCP11874 - Building 25 G..	22,887
University at Albany Foundatio	2/17/2017	OTHER PROGRAM AREA, 2018 NY Business Plan Sponsor	25,000
Upstate Alternative Energy	1/25/2017	<200KW PV, NY Sun	15,776
Upstate Venture Connect	2/23/2017	Prof & Expert Engagement, UVC Sponsorship	25,000
Urban Electric Power, LLC	11/23/2016	CLEAN TRANSPORTATION, Zinc MO2 battery scale up	299,898
Utilities Program & Metering, Inc.	12/29/2016	Real Time Enrgy Management, Tom Damsell - 1 Liberty - RTEM	33,581

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Utilities Program & Metering, Inc.	12/30/2016	Real Time Enrgy Management, Josie Robinson Surgery - RTEM	51,602
		Real Time Enrgy Management, NYU Medical Center - MS - RT..	73,260
Utsayantha Solar LLC	3/31/2017	>200KW PV, NY Sun	845,093
Valley Gas Inc.	3/6/2017	FUEL NY, PGI00270 - Valley Gas Inc.	84,000
Van Slyke Sustainable Dairy Digester L..	1/19/2017	ANAEROBIC DIGESTER, ADG-to-Electricity Project	2,000,000
Vandale Motors Inc.	2/24/2017	FUEL NY, PGI00003 - Vandale Motors Inc.	35,050
Venture Home Solar LLC	1/3/2017	<200KW PV, NY Sun	5,886
	1/6/2017	<200KW PV, NY Sun	6,377
Verari Financial Services, LLC	1/24/2017	FUEL CELLS, RPS CST Fuel Cell at RIT	800,000
Verizon Corporate Services Group	12/22/2016	EXISTING FACILITIES, EFP2122-Verizon - Verizon BMS	72,443
Vidaris, Inc.	11/10/2016	Commercial New Construc, Vidaris - EMP	74,635
	11/14/2016	NEW CONSTRUCTION PROGRAM, Vidaris - EMP	45,150
	12/19/2016	Commercial New Construc, Vidaris - EMP	33,500
	1/5/2017	Commercial New Construc, Vidaris - EMP	58,300
Village of Fredonia	10/18/2016	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	60,780
Vincents Heating and Fuel Service, LLC	11/23/2016	RENEWABLE HEAT NY, Renewable Heating & Cooling	10,000
	12/16/2016	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	11,436
	2/17/2017	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Hart	15,000
Viola Homes Inc.	10/6/2016	<200KW PV, NY Sun	5,520
	12/30/2016	<200KW PV, NY Sun	9,936
	3/31/2017	<200KW PV, NY Sun	12,780
Vishay Thinfilm	2/23/2017	Industrial Process Effic, Industrial Process Efficiency	27,222
Vivint Solar	10/12/2016	<200KW PV, NY Sun	5,200
	10/26/2016	<200KW PV, NY-Sun	5,039
	10/28/2016	<200KW PV, NY-Sun	5,354
	11/14/2016	<200KW PV, NY Sun	4,437
	11/28/2016	<200KW PV, NY Sun	5,200
	12/23/2016	<200KW PV, NY Sun	6,760
	1/3/2017	<200KW PV, NY Sun	28,328
	1/4/2017	<200KW PV, NY Sun	5,728
	3/28/2017	<200KW PV, NY Sun	5,322
Vornado Office Management LP	10/7/2016	ADVANCED BUILDINGS, EFP/DMP2276 - Vornado	200,000
		EXISTING FACILITIES, EFP/DMP2276 - Vornado	1,265,831
Walker Farms LLC	1/31/2017	ANAEROBIC DIGESTER, On-Site Power	138,833
Warex Terminals Corporation	11/15/2016	FUEL NY, PGI00064 - Warex Terminals Cor	96,847
Warren Pinnacle Consulting, Inc.	2/13/2017	ENVIRONMENTAL RESEARCH, SLAMM adaptation	97,918
Washington Gas Energy Systems Inc.	12/6/2016	NY-SUN, NY-Sun	564,401
	1/10/2017	NY-SUN, NY-Sun	1,619,674
	3/9/2017	FUEL CELLS, CST FC Marcus Garvey	600,000
Watchtower Bible &	10/5/2016	NEW CONSTRUCTION PROGRAM, NCP10424-Office/Pub Sp..	292,349
Watershed Assessment Associates, LLC	12/15/2016	ENVIRONMENTAL RESEARCH, Aquatic Macroinvertebrate ID	24,000
WB Heritage Pointe Associates, LLC	10/6/2016	Multifam Performance Pgm, NYSERDA Administration	18,450
Wegmans Food Markets, Inc.	12/28/2016	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	395,853
Wellwood Energy	10/27/2016	FUEL NY, PGI00115 - Wellwood Energy	35,669
Wendel Energy Services, LLC	11/4/2016	Industrial Process Effic, Technical Review and Program S	3,790
	11/10/2016	Flexible Tech Assistance, FlexTech Consultant Selection	23,000
West Seneca Fire District 2	2/23/2017	NEW CONSTRUCTION PROGRAM, NCP12903-WestSenecaFi..	13,176
West Side Federation for Senior & Supp..	1/17/2017	Multifam New Construction, MFNCP PHI T3-W 108th St Dev	100,000
Westchester Chamber Educational	10/6/2016	CLEANER GREENER COMMUNITIES, CGC26702 - WGBC	540,000
WestRock	2/9/2017	Industrial Process Effic, Industrial Process Efficiency	18,170
White Knight Productions	11/23/2016	OTHER PROGRAM AREA, 76West photography/videography	26,940
Whole Foods Market Group, Inc.	12/27/2016	NEW CONSTRUCTION PROGRAM, NCP13110 - Whole Foods..	74,088
Willdan Energy Solutions	12/16/2016	Industrial Process Effic, Technical Review and Program S	28,896
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	86,688
	12/30/2016	EXISTING FACILITIES, Technical Review and Program S	2,498
	1/31/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	6,642

## Contracts Executed

Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Willdan Energy Solutions	2/2/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	4,821
	2/10/2017	Flexible Tech Assistance, FlexTech Consultant Selection	82,050
	3/6/2017	Industrial Process Effic, C&I Outreach	93,454
		INDUSTRIAL PROCESS EFFICIENCY, C&I Outreach	23,433
		On-Site Energy Manager, C&I Outreach	14,295
	Strategic Energy Manager, C&I Outreach	15,818	
William J Dombrowski	11/16/2016	NEW YORK GREEN BANK, Revision of NYGB's RFP	50,000
Witt Construction, Inc	3/17/2017	Low Rise New Construction, New Construction	5,500
WSP USA Corp.	11/4/2016	Flexible Tech Assistance, FlexTech Consultant Selection	6,500
XC Associates, Inc.	11/8/2016	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Sma..	49,999
Xzerta Energy Group LLC	10/13/2016	>200KW PV, NY-Sun	2,436,509
	11/17/2016	>200KW PV, NY Sun	1,212,397
	11/23/2016	>200KW PV, NY Sun	674,725
	1/9/2017	>200KW PV, NY Sun	7,198,776
	1/19/2017	>200KW PV, NY Sun	1,211,332
	2/13/2017	>200KW PV, NY Sun	5,791,649
	3/9/2017	>200KW PV, NY Sun	1,105,119
	3/13/2017	>200KW PV, NY Sun	2,210,237
	3/31/2017	>200KW PV, NY Sun	678,346
Yale Robbins Publications, LLC	11/10/2016	COMBINED HEAT AND POWER, 2017 Co-op, Condo & Art Ex..	15,000
You Save Green Incorporated	12/29/2016	<200KW PV, NY Sun	6,466
	2/9/2017	>200KW PV, NY Sun	782,787
	3/9/2017	>200KW PV, NY Sun	782,787
	3/13/2017	<200KW PV, NY Sun	13,104
	3/28/2017	>200KW PV, NY Sun	1,565,574
Zero Carbon Corporation	1/30/2017	<200KW PV, NY Sun	39,816
	3/20/2017	<200KW PV, NY Sun	21,494
<b>Grand Total</b>			<b>990,284,106</b>

Contracts Executed  
 Period 10/1/2016 through 3/31/2017

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Vivint Solar Financing I, LLC	3/31/2017	NY Green Bank, Vivint Solar Financing I	\$ 20,000,000.00
Northport-East Northport Union Free School District	10/21/2016	NY Green Bank, Bank of America – Northport	\$ 8,847,083.00
Mako GB SPV, LLC	12/9/2016	NY Green Bank, SolarCity - Juniper	\$ 30,000,000.00
SolarCity Corporation	12/30/2016	NY Green Bank, SolarCity - Construction Facility	\$ 20,000,000.00
New York City Housing Authority	12/23/2016	NY Green Bank, NYCHA	\$ 11,000,000.00
Plug Power, Inc.	12/23/2016	NY Green Bank, Plug Power	\$ 25,000,000.00
Dormitory Authority of the State of New York	12/29/2016	NY Green Bank, Bank of America – Hebrew	\$ 12,182,370.97
SUN8 PDC LLC	1/9/2017	NY Green Bank, Distributed Sun - SUN8	\$ 1,000,000.00
	3/22/2017	NY Green Bank, Distributed Sun - SUN8 - Upsize #1	\$ 2,000,000.00
Odyssey Solar 1, LLC	2/23/2017	NY Green Bank, Distributed Sun - Odyssey	\$ 10,452,850.60
Spruce Manager Holding 2 NYGB, LLC	3/10/2017	NY Green Bank, Spruce - Resi PPA	\$ 6,000,000.00
Esopusol LLC	3/17/2017	NY Green Bank, BQ Energy - Esopus	\$ 1,127,800.00



**Contracts Completed**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
1 John Street LLC	NEW CONSTRUCTION PROGRAM, NCP12109 - 1 John Street Brook	64,208
1st Light Energy, Inc.	<200KW PV, NY-Sun	161,681
	<200KW PV, RES-NewConst(no longer in use)	136,963
5th Avenue LLC	FLEXIBLE TECHNICAL ASSISTANCE, FT10394-Elk Investors-489 5th	11,975
7-Eleven Inc.	EXISTING FACILITIES, EFP2431 - 7-Eleven Inc. - 7 EI	292,559
10 Stewart Place Condominium	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	127,400
22nd Century Technologies, Inc.	NYSERDA ADMINISTRATION, Staff Augmentation	48,750
32 Sixth Avenue Co LLC	EXISTING FACILITIES, EFP2510 - Rudin (DMP) - 32 6th	188,177
34 South Main Housing Development Fund C	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	38,000
63 Madison Owners LLC	EXISTING FACILITIES, EFP2463 - 63 Madison Owners	86,458
69th Tenant Corp	ADVANCED BUILDINGS, EFP/DMP2263 - 69th St. Tenant	35,000
	EXISTING FACILITIES, EFP/DMP2263 - 69th St. Tenant	226,447
101 Avenue D Associates, LLC	NEW CONSTRUCTION PROGRAM, NCP98527 - Lower East Side Gir	34,026
101-105 South 8th Street Apartments HDFC	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	22,400
111 East 48th Street Holdings	EXISTING FACILITIES, EFP2267 - 111 East 48th St	91,882
116 Mosholu, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	51,000
123 E 37 Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	65,800
137 F Realty Corp.	CLEAN TRANSPORTATION, PON2290: Babylon Valero E85 in	35,000
151 Nagle Realty Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	55,000
	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	8,250
166 East 96th Street Owners Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	45,500
176 South Eight Street Apartments HDFC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	20,450
180 West End Avenue Condominium	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	293,800
261 Fifth Ave TIC Owner LLC	FLEXIBLE TECHNICAL ASSISTANCE, FT10500 - 261 Fifth Avenue	19,875
270 Empire Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	89,700
285 Madison Owner, LLC	NEW CONSTRUCTION PROGRAM, NCP11587 - 285 Madison Ave	103,790
285 Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	38,000
290 Empire Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	73,000
330 Madison Avenue LLC	ADVANCED BUILDINGS, EFP2216 - 330 Madison Ave LLC	70,000
345 Montgomery Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	66,220
355 Lexington LLC	EXISTING FACILITIES, EFP2511- Rudin - 355 Lexing	167,129
408 West 57th Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	101,500
444 Park South Avenue	NEW CONSTRUCTION PROGRAM, NCP11096 - 444 Park Ave South	114,810
614 South Crouse Avenue LLC	NEW CONSTRUCTION PROGRAM, NCP12643 - 614 South Crouse ..	12,260
761-779 Seventh Avenue Condominium	COMBINED HEAT AND POWER, DG CHP at Executive Plaza - Mi	345,412
825 West End Condominium	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	95,400
845 Third LP	EXISTING FACILITIES, EFP2512 - 845 Third L.P - 845	417,000
1420 Noble Ave LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	56,000
2065 Walton Avenue Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	108,000
2700 Jerome Avenue Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	120,600
3820 Broadway LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	38,000
	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	5,700
4410-4414 Cayuga Avenue Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	21,700
Abraham Lincoln Preservation, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	86,250
Abt Associates Inc.	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	180,000
Abt SRBI, Inc.	EVALUATION, Survey Data Collection Contrac	3,590,002

**Contracts Completed**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>ABW</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	21,000
<b>Accord Power, Inc.</b>	<200KW PV, NY Sun	5,712
	<200KW PV, NY-Sun	282,416
	<200KW PV, NYSERDA Administration	28,200
	<200KW PV, RES-NewConst(no longer in use)	9,433
<b>ACEEE</b>	COMBINED HEAT AND POWER, CHP Resiliency Valuation	50,000
<b>Actasys</b>	CLEAN TRANSPORTATION, Active Flow Control for Traile	499,300
<b>Active Solar Development, LLC</b>	<200KW PV, NY-Sun	36,110
	<200KW PV, RES-NewConst(no longer in use)	26,830
	RENEWABLE THERMAL, Renewable Heating & Cooling	6,000
	Solar Thermal, Solar Thermal Incentives	11,443
<b>Adam C. Boese</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	46,890
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	49,350
	GJGNY REVOLVING LOAN FUND, Daylight Savings Co. (Adam C.	1,010,607
<b>Adelphi University</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	32,368
<b>Advanced Climate Technologies, LLC</b>	ADVANCED BUILDINGS, ACT Pellet Boiler Enhancements	145,000
	ADVANCED BUILDINGS, Adaptation-Enhancement of Euro	50,000
<b>Aegis Energy Services Inc.</b>	COMBINED HEAT AND POWER, CHPA - Beresford Apartments	148,500
	COMBINED HEAT AND POWER, CHPA - Dorado Apartments	135,000
	COMBINED HEAT AND POWER, CHPA - One Lincoln Plaza Condo	430,032
	COMBINED HEAT AND POWER, CHPA - The Petersfield	148,500
<b>Aeonsolar</b>	<200KW PV, NY-Sun	160,084
<b>AHA Development Corporation</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	71,000
<b>Akasaka Enterprises</b>	OTHER PROGRAM AREA, Consultant	48,758
<b>AKF-engineers</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	146,908
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultants Stateri..	26,215
<b>Albany Institute of History and Art</b>	EXISTING FACILITIES, NYSERDA Administration	10,164
<b>Albany Law School Government Law Center</b>	CLEAN TRANSPORTATION, Albany Law School STLC Proposa	250,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Albany Law..	49,098
<b>Albany Medical Center</b>	NEW CONSTRUCTION PROGRAM, NCP12177 - Park South	53,478
<b>Albert Einstein College of Medicine</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	173,884
<b>Align Pictures, Inc.</b>	NYSERDA ADMINISTRATION, REV Video Production	75,000
<b>All Systems Cogeneration, Inc.</b>	COMBINED HEAT AND POWER, CHPA - Lincoln Park	198,000
<b>Alliance for Housing Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	449,000
	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	67,050
<b>Alliance to Save Energy</b>	NYSERDA ADMINISTRATION, Membership Dues 2017	25,000
<b>Altanova LLC</b>	Flexible Tech Assistance, FlexTech Consultant Selection	15,000
<b>Alteris RPS, LLC</b>	<200KW PV, PV Incentive Program	11,340
<b>Alternative Power Solutions of NY, LLC</b>	<200KW PV, NY Sun	32,912
	<200KW PV, NY-Sun	183,207
	<200KW PV, NYSERDA Administration	8,448
	<200KW PV, RES-NewConst(no longer in use)	36,525
<b>AltPOWER, Inc.</b>	<200KW PV, NY-Sun	67,224
	<200KW PV, RES-NewConst(no longer in use)	95,634
<b>Ambri Inc.</b>	CLEAN TRANSPORTATION, Ambri CORE Development	250,000
<b>Ambrosino, DePinto &amp; Schmieder</b>	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	105,094

**Contracts Completed**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>American Academy of Arts &amp; Sciences</b>	ADVANCED BUILDINGS, Behavior Workshop	50,000
<b>American Aerogel Corporation</b>	CLEAN TRANSPORTATION, Aerogel Insulation for Refrige	331,425
<b>American Energy Care, Inc.</b>	<200KW PV, NY Sun	24,600
	<200KW PV, NY-Sun	63,499
	<200KW PV, NYSERDA Administration	7,344
<b>American Packaging Corp.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	34,565
<b>American Renewable Energy, Inc.</b>	<200KW PV, NY Sun	11,423
	<200KW PV, NY-Sun	8,436
<b>American Solar Partners, LLC</b>	<200KW PV, NY Sun	21,000
	<200KW PV, NY-Sun	200,408
	<200KW PV, NYSERDA Administration	53,720
	<200KW PV, RES-NewConst(no longer in use)	92,500
<b>Anheuser-Busch, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Pre-Encumber - Gas	90,000
<b>Animal Haven</b>	NEW CONSTRUCTION PROGRAM, NCP13062 - Animal Haven	7,580
<b>Antares Group, Inc.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	Industrial Process Effic, Technical Review and Program S	6,225
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	47,522
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	73,837
<b>Apache Oil Company, Inc.</b>	FUEL NY, GSP00294-002 - Apache Oil Comp	13,000
	FUEL NY, GSP00294-003 - Apache Oil Comp	13,000
<b>Apex Solar Power LLC</b>	<200KW PV, NY Sun	141,498
	<200KW PV, NY-Sun	196,684
	<200KW PV, NYSERDA Administration	41,825
	RENEWABLE THERMAL, Renewable Heating & Cooling	6,000
<b>Applied Energy Group, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	20,002
<b>Appligent Document Solutions</b>	NYSERDA ADMINISTRATION, NYSERDA Administration	98,072
<b>Aramark Management Svc Ltd Prtnshp</b>	EXISTING FACILITIES, Technical Review and Program S	96,505
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	3,464
<b>Arcadis of New York, Inc.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
<b>Arcadis U.S., Inc.</b>	COMBINED HEAT AND POWER, Technical Review and Program S	20,500
	EXISTING FACILITIES, Technical Review and Program S	20,117
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	14,000
<b>Argus Avionics, Inc.</b>	CLEAN TRANSPORTATION, ADVANCED TRANSPORTATION TEC..	150,000
<b>Arista Power Inc.</b>	<200KW PV, NYSERDA Administration	8,904
<b>Association for Energy Affordability, In</b>	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	750,000
<b>Association of Energy Engineers</b>	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	557,073
<b>Astrum Solar, Inc.</b>	<200KW PV, NY Sun	23,892
	<200KW PV, NY-Sun	209,159
	<200KW PV, NYSERDA Administration	7,644
	<200KW PV, RES-NewConst(no longer in use)	12,799
<b>Atelier Ten</b>	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	218,517
<b>Atlantic Avenue Capital Partners LLC</b>	NEW CONSTRUCTION PROGRAM, NCP13072 - Atlantic Avenue Cap	8,134
<b>Aurora Ridge Dairy LLC</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	164,904
<b>BAE Systems Controls, Inc.</b>	CLEAN TRANSPORTATION, Parallel Hybrid Powertrain	496,344
<b>Barrier Free Living Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	130,776
<b>BBL Construction Services LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11997 - Renaissance Albany	101,927

**Contracts Completed**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Beacon Power, LLC</b>	RENEWABLES & DER INTEGRATION, Stephentown Flywheel Demo..	200,000
<b>Benchmark Printing, Inc.</b>	GJGNY REVOLVING LOAN FUND, Printing Services	3,205
<b>Bergmann Associates</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	30,700
	AGRICULTURE ENERGY EFFICIENCY, Technical Review and Progr..	6,400
	Flexible Tech Assistance, FlexTech Consultant Selection	9,975
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	13,950
	RENEWABLE HEAT NY, Technical Review and Program S	8,460
<b>Berkeley Cooperative Towers Sec. II Corp</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	333,000
<b>Best Energy Power</b>	<200KW PV, NY-Sun	470,136
	<200KW PV, PV Incentive Program	25,200
	<200KW PV, RES-NewConst(no longer in use)	81,700
<b>Beukendaal Fire Department</b>	NEW CONSTRUCTION PROGRAM, NCP13187 - Beukendaal Fire Sta	5,565
<b>BGW Solar 1, LLC</b>	NY-SUN, PV System @ Oneida County Sher	654,357
<b>BH Coffee Company LLC</b>	Industrial Process Effic, IPE16021-Barrie House Coffee	35,500
<b>Big Tree Glen Housing Development Fund</b>	NEW YORK ENERGY STAR HOMES, New Construction	140,000
<b>Bill Lundy</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	38,811
<b>Bioenergy Project Partners</b>	CLEANER GREENER COMMUNITIES, CGC32404 - BPP - Category 3	1,394,173
	OTHER PROGRAM AREA, Regional Economic Development	1,000,000
<b>Bizodo Inc</b>	NYSERDA ADMINISTRATION, SeamlessDocs Licensing 17-18	27,450
<b>BK GAS CORP</b>	FUEL NY, GSP00363 - BK Gas Corp.	10,000
<b>Blackhawk Development LLC</b>	NEW CONSTRUCTION PROGRAM, NCP13162 - Project Blackhawk	105,539
<b>BlocPower Public Benefits Corporation</b>	SMART GRID SYSTEMS, City of NY, Brownsville	100,000
<b>Blue Raven Solar</b>	<200KW PV, NY-Sun	5,100
<b>Blueland LLC</b>	<200KW PV, NYSERDA Administration	46,213
<b>Bluestone Energy Services</b>	EXISTING FACILITIES, EFP2507 - Bluestone Energy -	512,364
<b>Bluestone Management Associates, LLC</b>	GREEN AFFORDABLE HOUSING, Multifamily	7,786
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	38,314
<b>BOCES of Rockland</b>	WORKFORCE DEVELOPMENT, Clean Energy Training for HS	199,893
<b>Bolla EM Realty LLC</b>	FUEL NY, GSP00282 - Bolla EM Realty LLC	10,000
	FUEL NY, GSP00285 - Bolla EM Realty LLC	10,000
<b>Bolla Operating Corp.</b>	FUEL NY, GSP00362 - Bolla Operating Cor	10,000
	FUEL NY, PGI00039 - Bolla Operating Cor	56,967
<b>Bolla Operating LI Corp.</b>	FUEL NY, GSP00274 - Bolla Operating LI	10,000
<b>Boro Park Village - Phase II</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	18,200
<b>Borrego Solar Systems, Inc.</b>	>200KW PV, Commercial/Industrial	1,105,746
	>200KW PV, Commercial/Industrial PV	790,133
	>200KW PV, NY-Sun	2,211,492
	>200KW PV, NY-Sun C/I	1,105,746
	NY-SUN, Commercial/Industrial	865,139
<b>BP Products North America Inc.</b>	FUEL NY, GSP-00809 - BP Products North	10,000
<b>BPCA NYS Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, BPCA R..	12,500
	HOME PERFORMANCE WITH ENERGY STAR, BPCA Roundtables 2..	12,500
<b>Brand/Cool Marketing</b>	EMPOWER NY, RFQL and RFP 1224	91,788
	EVALUATION, RFQL and RFP 1224	99,999
	GJGNY REVOLVING LOAN FUND, RFQL and RFP 1224	24,204
	HOME PERFORMANCE WITH ENERGY STAR, RFQL and RFP 1224	295,539

**Contracts Completed**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Brand/Cool Marketing</b>	MARKET PATHWAYS, RFQL and RFP 1224	250,283
	MULTIFAMILY PERFORMANCE PROGRAM, RFQL and RFP 1224	5,622,777
	STATEWIDE RESIDENTIAL POINT OF SALE, RFQL and RFP 1224	403,128
<b>Brianna Bowers</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	9,000
<b>Bridge Metals Industries</b>	CLEAN TRANSPORTATION, Renewable,Clean Energy & Energ	1,500,000
<b>Bright Power, Inc.</b>	<200KW PV, NY-Sun	38,717
	<200KW PV, NYSERDA Administration	49,680
	<200KW PV, RES-NewConst(no longer in use)	46,990
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	107,928
<b>BrightHOME Energy Solutions, LLC</b>	HOME PERFORMANCE WITH ENERGY STAR, Shorehaven Low-Ris..	22,804
<b>Brookhaven National Lab</b>	ADVANCED BUILDINGS, Advanced Buildings Technology	180,000
	ENVIRONMENTAL RESEARCH, Energy and Environmental Perfo	48,000
	RENEWABLE HEAT NY, Energy and Environmental Perfo	593,000
<b>Brooklyn Friends School</b>	NEW CONSTRUCTION PROGRAM, NCP12248 - Brooklyn Friends Sc	38,321
<b>Brooklyn SolarWorks LLC</b>	<200KW PV, NY Sun	16,800
	<200KW PV, NY-Sun	6,237
<b>BTC Block 1/21, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP10815 - Uniland Developme..	167,491
<b>Bubbins Farm LLC</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	174,081
<b>Buffalo Niagara Medical Campus, Inc.</b>	CLEAN TRANSPORTATION, Residential Parking Benefits	84,051
	CLEANER GREENER COMMUNITIES, CGC29390 - BNMC - Categor..	1,000,000
<b>Buffalo Solar Solutions Inc</b>	<200KW PV, NY Sun	10,440
	<200KW PV, NY-Sun	12,720
<b>Buffalo State College</b>	NEW CONSTRUCTION PROGRAM, NCP7647 - Science Building (Bu	352,278
	NEW CONSTRUCTION PROGRAM, NCP11714 - Buffalo State Colle	19,600
<b>Business Environments</b>	NYSERDA Administration	10,463
<b>Butler/Till Media Services, Inc.</b>	EMPOWER NY, Marketing Contract	59,957
	HOME PERFORMANCE WITH ENERGY STAR, Marketing Contract	156,182
	MULTIFAMILY PERFORMANCE PROGRAM, Marketing Contract	92,083
	STATEWIDE RESIDENTIAL POINT OF SALE, Marketing Contract	14,912
<b>C.J. Brown Energy, P.C.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	19,000
	COMBINED HEAT AND POWER, FlexTech Consultant Selection	19,500
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	153,252
<b>C.T. Male Associates Engineering,</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	39,500
<b>C&amp;S Wholesale Grocers</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	638,670
<b>Cadenza Innovation, LLC</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	500,000
<b>California Associates, LP</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	131,000
	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	26,200
<b>Calstart</b>	CLEAN TRANSPORTATION, Advanced Transportation Tech	50,000
<b>Calvary Grandparents Residence, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	63,600
<b>Carnegie Mellon University</b>	ADVANCED BUILDINGS, Behavior Research & Energy Dec	77,897
<b>Cascade Tissue Group-New York Inc.</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	29,175
<b>Castle Hill Electrical Supply Co.</b>	EXISTING FACILITIES, EFP2492 - Castle Hill Electric	103,456
<b>Cayuga Medical Center at Ithaca</b>	NEW CONSTRUCTION PROGRAM, NCP11115 - CMC0B10 (Cayuga..	42,959
<b>Cayuna Medical Center</b>	NEW CONSTRUCTION PROGRAM, NCP11115 - CMC0B10 (Cayuga..	42,959
<b>Cazenovia Hospitality LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11778 - Cazenovia Hospitali	16,370
<b>CDH Energy Corporation</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	28,845

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>CDH Energy Corporation</b>	COMBINED HEAT AND POWER, CHP Acceleration Program Techn	50,000
	COMBINED HEAT AND POWER, EFP Task Work Order	32,200
	COMBINED HEAT AND POWER, Technical Review and Program S	14,600
	EXISTING FACILITIES, EFP Task Work Order	22,050
	EXISTING FACILITIES, Existing Facilties Tech Assis	43,580
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	125,000
	INDUSTRIAL PROCESS EFFICIENCY, EFP Task Work Order	38,841
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	56,448
<b>CE Renwick LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12795 - Tommie Hudson Sq..	5,780
<b>CE Towers LLC</b>	EXISTING FACILITIES, EFP2152 - Muss Development Pro	92,621
<b>CEC Stuyvesant Cove, Inc.</b>	OTHER PROGRAM AREA, Solar One Community Solar	191,023
	WORKFORCE DEVELOPMENT, PON 2774 Career Pathways	298,757
	WORKFORCE DEVELOPMENT, Solar One Community Solar	191,023
<b>Cellco Partnership</b>	Industrial Process Effic, Industrial Process Efficiency	6,136
<b>Centennial Gardens Partners, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	144,900
<b>Central Desktop</b>	ENERGY ANALYSIS, Tech Service for SEP Doc Dev	33,327
<b>Central Harlem MHA, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	17,650
<b>Central New York Regional Planning and D</b>	SMART GRID SYSTEMS, City of Syracuse NY Prize	100,000
<b>CHA Consulting Inc.</b>	EXISTING FACILITIES, Technical Review and Program S	26,700
	Flexible Tech Assistance, FlexTech Consultant CHA	78,869
	Industrial Process Effic, FlexTech Consultant CHA	0
	Industrial Process Effic, Technical Review and Program S	3,750
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	111,500
	RENEWABLE HEAT NY, Technical Review and Program S	4,450
<b>Chadbourne &amp; Parke LLP</b>	NEW YORK GREEN BANK, Chadbourne & Parke, LLC Legal	25,000
<b>Charlotte Square Apartments, LLC</b>	NEW YORK ENERGY STAR HOMES, New Construction	185,500
<b>Chart, Inc.</b>	RENEWABLES & DER INTEGRATION, Acoustical sterling engine	49,880
<b>Chris Steinmann</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	12,622
<b>CIR ELECTRICAL CONSTRUCTION CORP.</b>	<200KW PV, NY Sun	52,406
	<200KW PV, NY-Sun	104,929
	<200KW PV, NYSERDA Administration	15,120
<b>City of Auburn</b>	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	881,550
<b>City of Binghamton</b>	SMART GRID SYSTEMS, City of Binghamton NY Prize	100,000
<b>City of Buffalo, Department of Public W</b>	SMART GRID SYSTEMS, City of Buffalo NY Prize	100,000
<b>City of Dunkirk Housing Authority</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	80,000
<b>City of Geneva</b>	CLEANER GREENER COMMUNITIES, CGC30440 - City of Geneva	50,000
<b>City of Glens Falls</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	321,639
<b>City of New Rochelle</b>	CLEANER GREENER COMMUNITIES, CGC30569 - New Rochelle	198,000
<b>City of Oswego</b>	SMART GRID SYSTEMS, City of Oswego, NY Prize	99,800
<b>City Point Residential LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12101 - City Point Building	22,120
<b>Claire Weisz Architects</b>	CLEAN TRANSPORTATION, Off Street Delivery Approaches	100,000
<b>Clarkson University</b>	ADVANCED BUILDINGS, Advanced Buildings Technology	100,000
	ADVANCED BUILDINGS, Behavior Pilot-Clarkson Univ	120,000
	ADVANCED BUILDINGS, Green Data Center Computing	50,000
	CLEAN TRANSPORTATION, Optimal EV Rate Structures in	75,000
	EXISTING FACILITIES, Green Data Center Computing	300,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Clean Energy	CLEAN TRANSPORTATION, NYS Compressed Natural Gas	300,000
Clean Power Research	CLEAN TRANSPORTATION, Online PEV Purchase-Decision P	199,628
Clear Cove Systems Inc.	OTHER PROGRAM AREA, Demo of ClearCove EPT Technolo	136,840
Clearedge Power	FUEL CELLS, RPS CST Fuel Cell at RIT	1,000,000
Climate Action Associates LLC	CLEANER GREENER COMMUNITIES, Climate Smart Communities R..	847,771
Clough, Harbour & Associates, LLP	EXISTING FACILITIES, EFP Task Work Order	13,000
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	479,900
	INDUSTRIAL PROCESS EFFICIENCY, EFP Task Work Order	58,100
	INDUSTRIAL PROCESS EFFICIENCY, Existing Facilities Tech Assis	14,600
CNY Fabrication, LLC	NEW CONSTRUCTION PROGRAM, NCP14068-CNY Fabrication-OF..	130,142
CNY Solar, Inc.	<200KW PV, NY Sun	21,160
	<200KW PV, NY-Sun	431,273
	<200KW PV, RES-NewConst(no longer in use)	22,190
Code Green Solutions, Inc.	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	119,320
Cogan Group Inc	<200KW PV, NY Sun	24,632
Collegiate Builders	<200KW PV, NY Sun	13,410
Columbia University	INDUSTRIAL PROCESS EFFICIENCY, Improving AD through EKD	352,202
Communications Specialists, Inc.	<200KW PV, NY Sun	5,886
	<200KW PV, NY-Sun	49,816
	<200KW PV, NYSERDA Administration	44,121
	<200KW PV, PV Incentive Program	10,710
	<200KW PV, RES-NewConst(no longer in use)	62,000
Community Action Partnership for Madison	NEW YORK ENERGY STAR HOMES, Codes & New Construction	17,000
Community Power Network of NYS, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Assessmen..	70,000
	MULTIFAMILY PERFORMANCE PROGRAM, LIFE Implementation S..	340,000
Comverge Incorporated	ADVANCED BUILDINGS, Existing Facilities Program -	43,400
Conifer Lechase Construction	NEW YORK ENERGY STAR HOMES, NYSERDA Administration	140,000
Conklin Services & Construction Inc.	<200KW PV, NYSERDA Administration	86,940
	<200KW PV, RES-NewConst(no longer in use)	173,880
Connection Technology Center, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	25,055
Consolidated Edison Company	SMART GRID SYSTEMS, Integ. of Microgrids & DER	663,094
Consortium for Energy Efficiency, Inc.	Prof & Expert Engagement, CEE ETAC 2016 Membership	5,000
	Prof & Expert Engagement, Industrial Process Efficiency	25,000
Constellation NewEnergy Inc.	NY-SUN, New York Sun Competitive PV Pr	2,980,270
Cooper Power Systems	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	142,850
Copenhagen Central School District	WORKFORCE DEVELOPMENT, Clean Energy Training for High	200,000
Cornell University	ENVIRONMENTAL RESEARCH, Nanostructured Interfaces for	250,000
	ENVIRONMENTAL RESEARCH, Performance of Biomass-fired	125,000
	INDUSTRIAL PROCESS EFFICIENCY, Center of Excellence for CEA T	397,075
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, 76West Bui..	584,126
	NEW CONSTRUCTION PROGRAM, NCP7695 - Stocking Hall (Corne	305,888
	OTHER PROGRAM AREA, 76West Building a Clean Energy	523,125
	OTHER PROGRAM AREA, 2017 EaC Sponsorship	30,000
Corning Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	84,071
	NEW CONSTRUCTION PROGRAM, NCP7601 - Sullivan Park DV Bui	505,000
Courtesy Mobil Car Care Center, Inc.	FUEL NY, GSP00119-009 - Courtesy Mobil	13,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Coye Farms</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	11,939
<b>CPD NY Energy</b>	FUEL NY, GSP00814 - CPD NY Energy (Mobi	10,000
<b>Crossland Mechanical Inc.</b>	NYSERDA ADMINISTRATION, HVAC - NYC Office Telco/AV Rm	23,668
<b>Croton Energy Group, Inc.</b>	<200KW PV, NY-Sun	18,148
<b>CTG:I LLC</b>	EVALUATION, One year subscription for 3 us	4,250
	Subscription/Data Access, One year subscription for 3 us	4,250
<b>Culver Company, LLC</b>	POLICY DEVELOPMENT, Consumer Serv & Events Managem	16,549
<b>Cusie 31 LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12209 - 11 East 31st Street	12,151
<b>Custom Electronics, Inc.,</b>	CLEAN TRANSPORTATION, Improved Ultracapacitor	250,000
<b>Cutone &amp; Company Consultants, LLC</b>	ADVANCED BUILDINGS, EFP2230 - Cutone & Company Con	90,600
	ADVANCED BUILDINGS, EFP2338 - Cutone - 200 Lexingt	192,902
	ADVANCED BUILDINGS, EFP2544 - Cutone - 75 Varick S	59,680
	EXISTING FACILITIES, EFP1752 - Iona College	35,611
	EXISTING FACILITIES, EFP2204-Cutone Company Consult	84,741
	EXISTING FACILITIES, EFP2230 - Cutone & Company Con	271,800
	EXISTING FACILITIES, EFP2338 - Cutone - 200 Lexingt	768,726
	EXISTING FACILITIES, EFP2544 - Cutone - 75 Varick S	290,320
	EXISTING FACILITIES, PON1219EE5	137,200
<b>Cypress Creek Renewables LLC</b>	>200KW PV, Commercial/Industrial PV	3,170,613
	>200KW PV, Commerical/IndustrialPV	2,649,367
	>200KW PV, NY Sun C&I	1,109,185
	>200KW PV, NY-Sun	1,172,567
	>200KW PV, NY-Sun CI	1,109,185
<b>D. F. Brandt, Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	61,938
<b>D&amp;B Engineers and Architects, PC</b>	SMART GRID SYSTEMS, Village of Port Jefferson	100,000
<b>Daemen College</b>	NEW CONSTRUCTION PROGRAM, NCP12219 - Academic and Athlet	7,430
<b>Dailey Electric Inc</b>	<200KW PV, NY Sun	7,728
	<200KW PV, NY-Sun	5,520
<b>David Hayes</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	12,173
<b>David Homebuilders, Inc.</b>	<200KW PV, RES-NewConst(no longer in use)	13,748
<b>David P Bruns</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	384,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	338,000
<b>DCG Development Co.</b>	NEW CONSTRUCTION PROGRAM, PON1601-R3	136,993
<b>Deer Run Dairy LLC</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	27,216
<b>Dennis Willebrandt</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	71,502
<b>Dentons US LLP</b>	NYSERDA ADMINISTRATION, Green Bank Outside Legal Ser.	89,546
<b>DePaul Properties, Inc.</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	250,000
<b>Development Authority of the North Count</b>	SMART GRID SYSTEMS, Village of Croghan NY Prize	94,000
<b>Direct Energy Business LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,446,404
<b>Direct Marketing Productions, Inc.</b>	OTHER PROGRAM AREA, 2017 arpa-e Sponsorship	6,000
<b>Direct Packet Inc.</b>	NYSERDA ADMINISTRATION, Firewall Traversal - Renewal	12,000
	NYSERDA ADMINISTRATION, Tandberg Support - Renewal	5,055
	NYSERDA ADMINISTRATION, VideoConf End of Life	16,258
	NYSERDA ADMINISTRATION, VideoConf End of Life - 2	17,726
<b>District Sun</b>	<200KW PV, NY-Sun	29,000
	<200KW PV, NYSERDA Administration	25,691



**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Dixon Manor LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	83,000
Doherty Electric, LLC	<200KW PV, NY-Sun	16,680
Douglas R Jarvis	<200KW PV, NY Sun	9,856
Dowd-Witbeck Printing Corp.	COMBINED HEAT AND POWER, Printing Services	775
	Low-Income Forum on Energy, Printing Services	3,071
	NYSERDA ADMINISTRATION, Printing Services	1,722
	NYSERDA ADMINISTRATION, Printing Services-MWBE	2,433
Downstream Construction, LLC	<200KW PV, NY Sun	5,796
	<200KW PV, NY-Sun	7,920
DP32 LLC	NEW CONSTRUCTION PROGRAM, NCP12021 - 531 Bedford Road	15,322
Dueppengiesser Dairy Co.	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	9,008
Dynamic Energy Solutions, LLC	NY-SUN, PV System @ Hobart and William	1,146,069
Earth Environmental Group, LLC	RENEWABLE THERMAL, NY-Sun	247,570
East Coast Properties	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	293,480
East Harlem Center	NEW CONSTRUCTION PROGRAM, NCP13025-EHarlemTutorial-OF..	24,110
Eastern Alloys, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	35,175
Eastern Energy Systems Inc.	<200KW PV, NY-Sun	39,928
	<200KW PV, RES-NewConst(no longer in use)	5,250
Eastview Service Station Inc.	FUEL NY, GSP00474 - Eastview Service St	10,000
EB Realty of Albany	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	66,500
ECNY Electric Inc.	<200KW PV, NY-Sun	59,847
Ecovative Design LLC	CLEAN TRANSPORTATION, Biomaterial Sound Attenuation	110,338
Ecovis, Inc.	<200KW PV, NY-Sun	48,572
	<200KW PV, NYSERDA Administration	16,699
Edge Design and Consulting, Inc.	<200KW PV, NY-Sun	17,472
EDO Corporation	CLEAN TRANSPORTATION, Hybrid Pneumatic Drivetrain	500,000
	CLEAN TRANSPORTATION, Refuse Truck Air Body	500,000
Electrical Power WorX Corporation	CLEAN TRANSPORTATION, ADVANCED TRANSPORTATION TEC..	120,000
Elmwood Manor Associates, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	460,000
Emacx Systems, Inc.	ADVANCED BUILDINGS, EFP2468 - Emacx Systems, Inc.	22,242
	ADVANCED BUILDINGS, EFP2645 - Emacx NYPH Columbia	139,400
	EXISTING FACILITIES, EFP2468 - Emacx Systems, Inc.	77,438
	EXISTING FACILITIES, EFP2645 - Emacx NYPH Columbia	594,937
Embassy Square Apartments LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	258,000
EMCOR Services Betlem	Industrial Process Effic, IPE16003-EMCOR Services Betlem	19,199
	Industrial Process Effic, IPE16010-EMCOR Services Betlem	18,299
EME Consulting Engineering Group, LLC	>200KW PV, Existing Facilities Tech Assit	377,134
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	EXISTING FACILITIES, Technical Review and Program S	12,050
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	250,000
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	427,250
	NYSERDA ADMINISTRATION, Existing Facilities Tech Assit	14,066
Emergent Properties	ADVANCED BUILDINGS, Smartphone application	50,000
Emissions Advantage, Inc.	CLEAN TRANSPORTATION, Diesel Emission Clearing House	4,840
	ENVIRONMENTAL RESEARCH, Diesel Emission Clearing House	499,952
	OTHER PROGRAM AREA, Diesel Emission Clearing House	49,827

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Empire Farmstead Brewery, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP10256 - Empire Farmstead B	17,380
<b>Empire Solar Solutions LLC</b>	<200KW PV, NY Sun	87,132
	<200KW PV, NY-Sun	38,043
<b>Empower CES, LLC</b>	<200KW PV, NY Sun	22,129
	<200KW PV, NY-Sun	457,213
	<200KW PV, NYSERDA Administration	5,472
	<200KW PV, RES-NewConst(no longer in use)	10,483
<b>Eneractive Solutions</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant EnerActi..	16,008
<b>Energetics, Incorporated</b>	SMART GRID SYSTEMS, Flex Energy Tech Analysis 2	168,240
<b>Energy &amp; Resource Solutions, Inc.</b>	AGRICULTURE ENERGY EFFICIENCY, FlexTech Consultant ERS	75,000
	EXISTING FACILITIES, EFP Task Work Orders	162,593
	EXISTING FACILITIES, Technical Review and Program S	193,561
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant ERS	56,639
	INDUSTRIAL PROCESS EFFICIENCY, EFP Task Work Orders	89,118
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	118,545
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	79,954
	RENEWABLE HEAT NY, Technical Review and Program S	10,080
<b>Energy and Environmental Economics Inc.</b>	ENERGY ANALYSIS, NYS Approp's - Energy Analysis	47,500
	ENERGY ANALYSIS, REV Economic Framework	230,662
	OTHER PROGRAM AREA, REV Economic Framework	209,764
<b>Energy Design Service Systems</b>	NEW CONSTRUCTION PROGRAM, NCP11741 - Gap Jackson Heigh..	6,220
<b>Energy Reduction Concepts, LLC</b>	EXISTING FACILITIES, EFP2351 - Energy Reduction Ass	46,891
<b>Energy Spectrum Inc.</b>	EXISTING FACILITIES, EFP2106-Energy Spectrum - Mont	144,106
	EXISTING FACILITIES, Existing Facilities Program PO	600,722
<b>Energy Spectrum, Inc.</b>	EXISTING FACILITIES, Existing Facilities Program -	56,968
<b>Enermat Technologies, Inc.</b>	CLEAN TRANSPORTATION, Scalable Graphene Anodes	249,859
<b>Enerwise Global Technologies</b>	EXISTING FACILITIES, EFP2391 - Enerwise - Multisite	30,614
<b>Enlighten Power Solutions, LLC</b>	<200KW PV, NY-Sun	13,734
<b>ENrG, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Thin E-Stra..	998,965
<b>EnterSolar LLC</b>	<200KW PV, NY-Sun	125,000
	>200KW PV, Commercial/Industrial PV	357,079
	NY-SUN, Commercial/Industrial	884,243
	NY-SUN, New York Sun Competitive PV Pr	1,909,130
	NY-SUN, PV System @ Center Line Studio	264,114
	NY-SUN, PV System @ Regeneron Pharmace	565,793
	NY-SUN, PV System at Pratt Industries	1,543,728
	NY-SUN, RPS CST Regional Program	820,756
<b>Eos Energy Storage, LLC</b>	CLEAN TRANSPORTATION, 6 kW zinc-air batteries	250,000
<b>Epergy, LLC</b>	<200KW PV, NY-Sun	25,484
<b>Ephesus Lighting, Inc.</b>	ADVANCED BUILDINGS, Solid State Baseball Stadium.	300,000
<b>Equity Energy, LLC</b>	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Page	10,000
<b>Erdman Anthony &amp; Associates, Inc.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	7,040
	NEW CONSTRUCTION PROGRAM, NCP TA Contract - STD10134	29,350
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	90,610
<b>Eric Mower and Associates</b>	ADVANCED ENERGY CODES, RFQL and RFP 1224	500,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Eric Mower and Associates</b>	ASSISTED NEW YORK ENERGY STAR HOMES, RFQL and RFP 12..	335,777
	MARKET PATHWAYS, Corporate Marketing	250,000
	MARKET PATHWAYS, RFQL and RFP 1224	500,000
	NEW YORK ENERGY STAR HOMES, RFQL and RFP 1224	2,669,456
	OTHER PROGRAM AREA, RFQL and RFP 1224	569,446
	WORKFORCE DEVELOPMENT, RFQL and RFP 1224	100,000
<b>ERP Operating Limited Partnership</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	130,900
	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	182,200
<b>ESRI, Incorporated</b>	NYSERDA ADMINISTRATION, ESRI ArcGIS Upgrade	6,130
	NYSERDA ADMINISTRATION, ESRI Licensing - Renewal	16,500
<b>Evoworld</b>	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	128,222
<b>Executive Information Systems, LLC</b>	NYSERDA ADMINISTRATION, purchase of statistical softwa	37,666
<b>Extraterrestrial Materials Inc.</b>	<200KW PV, NY Sun	10,000
	<200KW PV, NY-Sun	5,940
<b>EYP Architecture &amp; Engineering, PC</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	235,977
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	5,000
<b>Farm, LLC</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	118,252
	NYSERDA ADMINISTRATION, Corporate Marketing	31,748
<b>Farrow's Auto Service, Inc.</b>	FUEL NY, GSP00120 - Farrows Auto Servic	13,000
<b>Ferguson Enterprises</b>	NEW CONSTRUCTION PROGRAM, NCP12414 - Ferguson Enterprise	135,048
<b>Fibertech Holdings Corp</b>	NYSERDA ADMINISTRATION, NYSERDA Administration	62,000
<b>Ficazzola Consulting, LLC</b>	<200KW PV, NY-Sun	13,498
	<200KW PV, NYSERDA Administration	14,080
<b>Fifth Avenue Committee, Inc.</b>	GREEN AFFORDABLE HOUSING, RES-Multifam(no longer in use)	30,447
	MULTIFAMILY PERFORMANCE PROGRAM, RES-Multifam(no longer..	56,574
<b>Finger Lakes ReUse, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP12514 - Ithaca ReUse Center	5,033
<b>Fingerlakes Renewables</b>	<200KW PV, NY-Sun	13,888
<b>Finndale Farms</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	62,393
<b>First Ward Action Council, Inc.</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	93,500
<b>Fitmar Management LLC</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech - PON1746	9,375
<b>Fiveboro Solar, LLC</b>	<200KW PV, NY-Sun	5,376
	<200KW PV, RES-NewConst(no longer in use)	9,800
<b>Florenton River LLC</b>	<200KW PV, NY-Sun	133,327
<b>Fort Schuyler Management Corporation</b>	NEW CONSTRUCTION PROGRAM, NCP11301 - Quad C	105,131
<b>Fourth Coast, Inc.</b>	<200KW PV, NY-Sun	118,201
	<200KW PV, NYSERDA Administration	36,674
<b>Fraunhofer USA Inc.</b>	ADVANCED BUILDINGS, Beh Strategies for Thermostats	99,980
<b>Frederick A Proven</b>	<200KW PV, NY-Sun	5,824
<b>Freedom Solar Inc.</b>	<200KW PV, NY Sun	5,292
	<200KW PV, NY-Sun	183,947
	<200KW PV, NYSERDA Administration	20,412
<b>Frey Electric Contruction Co., Inc.</b>	<200KW PV, NY-Sun	26,714
<b>Friendly Service Armonk, Inc.</b>	FUEL NY, GSP00119-005 - Friendly Servic	13,000
<b>Frost Valley YMCA</b>	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	13,670
<b>Full and By Farm</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	6,293
<b>Fulton Park #2 Associates</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	112,800

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Fuss & O'Neill, Inc.	INDUSTRIAL PROCESS EFFICIENCY, eGEN demo at Arlington WW..	99,541
FuzeHub, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Additive M..	50,000
G. W. Lisk Co. Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	42,434
G.W. Ehrhart, Inc.	RENEWABLE HEAT NY, Renewable Heating & Cooling	29,625
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Barb	13,095
Garlock Sealing Technologies, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	15,931
Gaseteria Oil Corp.	FUEL NY, GSP00807-001 - Gaseteria Oil C	10,000
Gateway ShopRite Associates LLC	NEW CONSTRUCTION PROGRAM, NCP11593 - Gateway ShopRite	408,828
GCOM Software Inc.	NYSERDA ADMINISTRATION, Renewal: Salesforce.com	1,600,908
	NYSERDA ADMINISTRATION, Salesforce Government Cloud	28,274
GDS Associates, Inc.	GJGNY REVOLVING LOAN FUND, GDS - Small Commercial Energy	1,096,748
GE Fuel Cells, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	3,999,615
Geatain Engineering PLLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	17,300
Gemini Gas Inc.	FUEL NY, GSP00799 - Gemini Gas Inc. (57	10,000
General Electric Co. Gobal Research	INDUSTRIAL PROCESS EFFICIENCY, NYSERDA Administration	537,621
Genesee Valley Transportation Co., Inc	CLEAN TRANSPORTATION, CNG Shortline Locomotive Study	91,218
Genesis Petroleum Inc.	FUEL NY, GSP00671-001 - Genesis Petrol	10,000
	FUEL NY, GSP00671-002 - Genesis Petrole	10,000
	FUEL NY, GSP00671-003 - Genesis Petrole	10,000
	FUEL NY, GSP00671-004 - Genesis Petrole	10,000
Genesys Engineering, P.C.	COMBINED HEAT AND POWER, FlexTech Consultant Selection	9,950
Geo of Camden, LLC	<200KW PV, NY-Sun	39,436
Geopeak Energy, LLC	<200KW PV, NYSERDA Administration	36,820
George E Denmark II	<200KW PV, NY Sun	5,568
	<200KW PV, NY-Sun	10,532
Georgia Tech Research Corporation	SMART GRID SYSTEMS, Electric Power Trans & Dist Sm	90,000
Ginsburg Development LLC	NEW YORK ENERGY STAR HOMES, New Construction	136,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	30,000
Global Foundries U.S. Inc.	NEW CONSTRUCTION PROGRAM, NCP98493 - Spine Building	176,755
	NEW CONSTRUCTION PROGRAM, NCP98495 - Fab Building	684,043
Go Solar/Green NY, LLC	<200KW PV, NY Sun	14,878
	<200KW PV, NY-Sun	43,333
	<200KW PV, RES-NewConst(no longer in use)	27,468
Goldman Copeland Associates, P.C.	Flexible Tech Assistance, FlexTech Consultant Selection	7,513
	FLEXIBLE TECHNICAL ASSISTANCE, Flexible Technical Assistance	793,538
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	26,533
Goldman Sachs	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	297,000
Golub Corporation	NEW CONSTRUCTION PROGRAM, NCP11836 - Price Chopper Chath	196,269
Gotham Greens Jamaica LLC	ENVIRONMENTAL RESEARCH, greenhouse automation tech	250,000
Grand Island Central School District	NEW CONSTRUCTION PROGRAM, NCP11382 - Grand Island HSMS..	10,645
	NEW CONSTRUCTION PROGRAM, NCP11669 - Grand Island Middle	25,893
	NEW CONSTRUCTION PROGRAM, NCP11671 - Grand Island High S	30,000
Great Brook Solar NRG, LLC	<200KW PV, NY-Sun	52,391
	<200KW PV, RES-NewConst(no longer in use)	14,976
Green City Force	WORKFORCE DEVELOPMENT, Career Pathways Training Partn	288,000
Green Hybrid Energy Solutions Inc.	<200KW PV, NY-Sun	166,543

**Contracts Completed**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Green Hybrid Energy Solutions Inc.</b>	<200KW PV, NYSERDA Administration	14,616
	<200KW PV, RES-NewConst(no longer in use)	170,000
<b>Green Jobs Training Center</b>	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	600,000
<b>Green Light Energy Conservation</b>	EXISTING FACILITIES, EFP2143 - Greenlight Energy Co	131,058
<b>Green Light New York, Inc.</b>	Prof & Expert Engagement, 2017 BEEEx Membership	50,000
<b>Green Mountain Electric Supply, Inc.</b>	<200KW PV, NY-Sun	57,699
<b>Green Options Buffalo</b>	CLEAN TRANSPORTATION, Complete Streets Evaluation	115,395
<b>Green Power Solutions, Inc.</b>	<200KW PV, NY-Sun	19,312
	<200KW PV, NYSERDA Administration	6,240
	<200KW PV, RES-NewConst(no longer in use)	17,303
<b>Green Street Power Partners LLC</b>	<200KW PV, NY-Sun	153,135
<b>Greenhill Contracting Inc.</b>	NEW YORK ENERGY STAR HOMES, NYSERDA Administration	12,000
<b>GreenLogic, LLC</b>	<200KW PV, NY-Sun	96,490
	<200KW PV, NYSERDA Administration	13,506
<b>Greenport Gardens Housing Development Fu</b>	Low Rise New Construction, New Construction	60,600
<b>Greentech Media Inc.</b>	RENEWABLE THERMAL, Solar Research Service	28,995
	Subscription/Data Access, Grid Edge Research	30,000
<b>Gregory C. Schantz</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	15,954
<b>GRID Alternatives Tri-State, Inc.</b>	OTHER PROGRAM AREA, Photovoltaic Balance-of-System	250,000
	WORKFORCE DEVELOPMENT, Photovoltaic Balance-of-System	250,000
<b>Grid City Electric Corp</b>	<200KW PV, NY-Sun	12,240
<b>Groom Energy Solutions</b>	EXISTING FACILITIES, EFP2519 - Groom Energy Solutio	691,190
<b>Group-S LLC</b>	EXISTING FACILITIES, EFP1805-Group S LCC dba En Pow	87,464
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	194,538
<b>Grubb &amp; Ellis Management Services, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Existing Facilities Program	551,400
<b>Guth Deconzo Consulting Engineers</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	16,000
<b>H.P. Hood, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,131,566
<b>Habitat for Humanity (Capital District)</b>	NEW YORK ENERGY STAR HOMES, NYSERDA Administration	76,000
<b>Halcyon, Inc.</b>	<200KW PV, NY Sun	15,210
	<200KW PV, NY-Sun	85,948
<b>Hamilton-Fulton-Montgomery BOCES</b>	WORKFORCE DEVELOPMENT, Clean Energy Training for HS	199,569
<b>Hanna Family LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	43,000
<b>Hanna Properties LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	217,000
<b>Happy Bee Heirloom Farm</b>	AGRICULTURE ENERGY EFFICIENCY, Pre-Enc	10,709
<b>Harmony Auto Service Inc.</b>	FUEL NY, GSP00699 - Harmony Auto Servic	10,000
<b>Harvest Power, LLC</b>	<200KW PV, NY Sun	56,411
	<200KW PV, NY-Sun	51,508
	<200KW PV, RES-NewConst(no longer in use)	30,195
<b>Hazen &amp; Sawyer, P.C.</b>	INDUSTRIAL PROCESS EFFICIENCY, Environmental Research	130,053
	OTHER PROGRAM AREA, Deammonification at 26th Ward	258,591
<b>Healthy Home Energy &amp; Consulting, Inc.</b>	<200KW PV, NY-Sun	5,600
<b>Hempstead Village Housing Associates, L.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	153,600
<b>High Falls Operating Co, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,000,000
<b>High Peaks Solar</b>	<200KW PV, NY Sun	6,496
	<200KW PV, NY-Sun	178,728
	<200KW PV, NYSERDA Administration	5,387

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
High Peaks Solar	<200KW PV, RES-NewConst(no longer in use)	7,150
Highbridge Community Housing Development	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	73,200
Hillside Associates of Albany LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	56,000
Hines 1045 Avenue of the Americas Joint	NEW CONSTRUCTION PROGRAM, NCP10584 - 1045 Ave of America	180,692
Hitachi Consulting Corporation	SMART GRID SYSTEMS, City of White Plains, NY Prize	79,913
Hobart and William Smith Colleges	NEW CONSTRUCTION PROGRAM, NCP10690 - Hobarts & Smith Per	159,566
Holland & Knight LLP	Clean Energy Communities, Outsid Counsel for CCA	25,000
	LARGE SCALE RENEWABLES, RFP 3300 Outside Counsel Servi	164,645
	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	11,890
	NYSERDA ADMINISTRATION, RFP 3300 Outside Counsel Servi	85,355
Home Depot USA., Inc.	<200KW PV, NYSERDA Administration	7,650
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	49,584
Home Innovation Research Labs, Inc.	ADVANCED BUILDINGS, Extended Plate & Beam Wall Sys	100,000
Homeport I, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	420,300
Homes for New Yorkers, Inc	GREEN AFFORDABLE HOUSING, Multifamily	713,184
	GREEN AFFORDABLE HOUSING, RES-Multifam(no longer in use)	190,341
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	1,554,659
	MULTIFAMILY PERFORMANCE PROGRAM, RES-Multifam(no longer..	423,139
Hoosick Falls Central School District	OTHER PROGRAM AREA, Equipment Purchase from HFCSD	126,100
Hope Community, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Multifamily	15,000
	GREEN AFFORDABLE HOUSING, Multifamily	9,808
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	42,887
Housing Visions Consultants, Inc.	NEW YORK ENERGY STAR HOMES, NYSERDA Administration	182,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	166,000
Houston Essex Realty Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	26,600
Hubert Stein & Son	AGRICULTURE ENERGY EFFICIENCY, AEEP - Pre-Encumbered	43,633
Hudson Solar	<200KW PV, NY Sun	41,168
	<200KW PV, NY-Sun	497,818
	<200KW PV, NYSERDA Administration	53,377
	<200KW PV, RES-NewConst(no longer in use)	119,382
	NY-SUN, New York Sun Competitive PV Pr	630,740
Hudson Valley Clean Energy Inc.	<200KW PV, PV Incentive Program	90,419
Hughes Motor Corp.	FUEL NY, GSP00476 - Hughes Motors Corp.	13,000
Huizinga Dairy	AGRICULTURE ENERGY EFFICIENCY, AEEP - Pre-Encumbered	11,234
Hunts Point Apartments LP	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	37,125
Hutchinson Investigations	NYSERDA ADMINISTRATION, Human Resources	17,000
	NYSERDA ADMINISTRATION, NYSERDA Administration	18,000
Hyatt Corporation	Multifam Performance Pgm, 2016 MPP Summit	50,000
Icahn School of Medicine at Mount Sinai	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	179,405
ICC 4 West Main LLC	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	74,250
ICF Resources, LLC	CLEAN TRANSPORTATION, RFQL and RFP 1224	179,597
	ENERGY ANALYSIS, Flex Tech Task Work Order	35,783
	EVALUATION, Flex Tech Task Work Order	114,217
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	2,110
	NYSERDA ADMINISTRATION, RFQL and RFP 1224	403
iCone Products, LLC	CLEAN TRANSPORTATION, ADVANCED TRANSPORTATION TEC..	268,966

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Idea Crossing, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Innovation..	19,570
	OTHER PROGRAM AREA, Application Management System	19,250
<b>IEC-Electronics</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	21,455
<b>IGS Ventures, Inc.</b>	>200KW PV, Commercial/Industrial	218,147
<b>Industrial Economics, Incorporated</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Flex Energ..	65,000
	MODELING & ANALYTICS, Flex Energy Tech Analysis 2	75,000
	SMART GRID SYSTEMS, Flex Energy Tech Analysis 2	399,733
<b>INF Associates LLC</b>	EXISTING FACILITIES, EFP2369 - INF Associates - mul	662,734
<b>Infinity Solar Systems, LLC</b>	<200KW PV, NY Sun	5,628
	<200KW PV, NY-Sun	49,369
<b>IntelliGen Power Systems, LLC</b>	COMBINED HEAT AND POWER, CHPA - AVA High Line	561,000
<b>Intelligent Green Solutions</b>	RENEWABLE THERMAL, NY-Sun	263,968
	RENEWABLE THERMAL, NYSERDA Administration	247,037
	RENEWABLE THERMAL, PV Incentive Program	24,479
	RENEWABLE THERMAL, Renewable Heating & Cooling	2,540,015
<b>International Business Machines,</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	935,496
<b>Ioxus, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	99,967
<b>Irving Tissue, Inc</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial and Process Efficie	170,122
<b>Ithaca Beer Company</b>	NEW CONSTRUCTION PROGRAM, NCP12808 - Ithaca Beer	11,370
<b>Ithaca Hotels LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12138-Holiday Inn Exp-OFLT	11,105
<b>Ivy Lea Construction</b>	NEW CONSTRUCTION PROGRAM, NCP12961 - IvyLeaConstruction	6,467
<b>J P Morgan Chase Bank</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	239,992
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,368,086
<b>Jack M Reilly</b>	CLEAN TRANSPORTATION, Upstate Transit Study	24,000
<b>James Bastek</b>	AGRICULTURE ENERGY EFFICIENCY, Resiliency & Emergency Pre..	82,764
<b>Jamie L. Corts</b>	NEW YORK ENERGY STAR HOMES, New Construction	13,000
<b>JCB Specialties, Inc.</b>	POLICY DEVELOPMENT, 2016 DPS NYS Fair Mini Fans	17,741
	POLICY DEVELOPMENT, 2016 NYS Fair Give Aways	17,045
<b>Jefferson Community College</b>	NEW CONSTRUCTION PROGRAM, NCP12178 - SUNY Jefferson CC..	73,396
<b>JJ Fort Collins LLC</b>	NEW CONSTRUCTION PROGRAM, NCP13070 - Fed Ex	98,005
<b>JJ Unlimited</b>	CLEAN TRANSPORTATION, Institutionalizing Integrated	206,739
<b>John M. Verba</b>	<200KW PV, NY-Sun	11,704
	<200KW PV, RES-NewConst(no longer in use)	30,060
<b>John Siegenthaler</b>	WORKFORCE DEVELOPMENT, RHNY Training	90,000
<b>John W.Danforth Co, Inc.</b>	EXISTING FACILITIES, EFP2176-John Danforth - Monroe	597,970
<b>Johnson Controls Inc.</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	44,357
<b>Josh Packaging</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	236,000
<b>Kandey Co., Inc.</b>	WEST VALLEY DEVELOPMENT PROGRAM, SDA storm pipe televisi..	10,000
<b>Kapsch TrafficCom Transportation NA Inc.</b>	CLEAN TRANSPORTATION, EcoTrafiX Platform Deployment	499,179
<b>Kasselman Solar LLC</b>	<200KW PV, NY Sun	74,724
	<200KW PV, NY-Sun	97,942
	<200KW PV, NYSERDA Administration	103,069
<b>Keith Owner, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	295,450
<b>Kelly Owner, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	286,900
<b>KEMA Incorporated</b>	ADVANCED BUILDINGS, Self-Optimizing NYS Customers	96,891
<b>Kenmore Mercy Hospital</b>	NEW CONSTRUCTION PROGRAM, NCP11713 - Kenmore Mercy Ho..	7,078

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Kevin Quinn	<200KW PV, NY-Sun	20,430
Kilowatt Engineering, Inc.	EXISTING FACILITIES, Technical Review and Program S	18,006
Kilowatt Financial, LLC	<200KW PV, NY-Sun	5,963
Knickerbocker Plaza LLC	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	374,400
Kool-Temp Heating & Cooling	<200KW PV, NY Sun	8,704
KPMG LLP	NYSERDA ADMINISTRATION, Procurement and Payment Review	50,000
L&D Acquisition LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	80,737
L&S Energy Services, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	60,000
	EXISTING FACILITIES, .	17,900
	EXISTING FACILITIES, IPE Incentve	31,573
	EXISTING FACILITIES, Technical Review and Program S	9,169
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	49,184
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	995,000
	GJGNY REVOLVING LOAN FUND, L&S Energy Services, Inc.	1,250,597
	Industrial Process Effic, Technical Review and Program S	7,644
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	84,194
	NEW CONSTRUCTION PROGRAM, L&S-Energy Modeling Partner	25,935
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services.	66,481
	RENEWABLE HEAT NY, Technical Review and Program S	2,438
LaBella Associates, P.C.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	17,500
	EXISTING FACILITIES, IPE Incentive	9,702
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	32,480
Lakeview Mental Health Services, Inc.	NEW YORK ENERGY STAR HOMES, Codes & New Construction	151,000
Lamont Financial Services Corporation	GJGNY REVOLVING LOAN FUND, Office of the Treasurer	50,000
	NEW YORK GREEN BANK, Green Bank	109,813
Lamoree Acres LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	9,692
Lantern Organization Inc.	GREEN AFFORDABLE HOUSING, Multifamily	118,689
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	123,686
LaSalle Properties LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	115,200
	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	12,000
Latta Northtowne LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	50,000
Launch New York, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Map Clean ..	49,250
	Prof & Expert Engagement, Launch NY Sponsorship	25,000
Laurelton Gardens Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	268,800
	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	115,200
Lawrence Berkeley National Laboratory	ADVANCED BUILDINGS, Advanced Buildings Technology	110,160
LC DRives	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Wind Turbi..	400,000
Lecesse Construction Services	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	69,000
Leeward Living, LLC	Low Rise New Construction, NYSERDA Administration	5,500
Level Solar Inc.	<200KW PV, NY-Sun	5,244
Leviton Manufacturing Co, Inc.	CLEAN TRANSPORTATION, Electric Vehicle Supply Equipm	1,000,000
Local 32BJ Thomas Shotman Training, Scho	WORKFORCE DEVELOPMENT, GJGNY NYS Registered Apprentic	289,245
Lockheed Martin Missions System	SMART GRID SYSTEMS, EPTD Smart Grid Program	1,970,670
Loeb & Loeb LLP	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	132,899
Lori Morrison	NEW YORK ENERGY STAR HOMES, Codes & New Construction	9,000
Lorne John Brousseau	<200KW PV, NY-Sun	7,524



**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Lotus Energy, Inc.</b>	<200KW PV, NY Sun	15,984
	<200KW PV, NY-Sun	47,014
	<200KW PV, RES-NewConst(no longer in use)	10,595
<b>Low-Level Radioactive Waste Forum, Inc.</b>	NYSERDA ADMINISTRATION, LLW Forum Annual Dues	5,000
<b>Lower East Side Girls Club</b>	NEW CONSTRUCTION PROGRAM, NCP2297 - Lower Eastside Girls	159,686
<b>M &amp; A Holding of CNY LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12879 - The Gardens Assiste	22,165
<b>M/E Engineering, P.C.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	15,000
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	270,640
	Industrial Process Effic, Technical Review and Program S	7,225
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	71,191
<b>Malcolm Pirnie, Inc.</b>	AGRICULTURE ENERGY EFFICIENCY, Existing Facilities Tech Assis	50,000
	EXISTING FACILITIES, EFP Task Work Orders	45,428
	EXISTING FACILITIES, Existing Facilities Tech Assis	14,000
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	17,452
<b>Mannino Electric, Inc.</b>	<200KW PV, NY-Sun	5,880
<b>Maple Manor Vintage LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	68,400
<b>Marshall Farms Group, LTD</b>	NY-SUN, PV System at Marshall Farms	171,973
<b>Matis, Bruce</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	13,327
<b>Max Solar Inc</b>	<200KW PV, NY Sun	7,480
	<200KW PV, NY-Sun	5,160
<b>Mayer Bros. Apple Products, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	39,903
<b>Mayfair Realty</b>	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	35,650
<b>Meeting Industry Experts, Inc.</b>	WORKFORCE DEVELOPMENT, Meeting PlanningServices	4,000
<b>Meister Consultants Group, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Inventory o..	399,804
<b>Mercury Solar Systems, Inc.</b>	<200KW PV, PV Incentive Program	12,250
<b>Mesa Bioenergy Supply, LLC</b>	RENEWABLE HEAT NY, Biomass Drying Demo	223,600
<b>Metal Container Corp.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	396,159
<b>MetLife</b>	EXISTING FACILITIES, EFP2193-85 Broad LLC - 85 Broa	131,298
<b>Metro Biofuel, LLC</b>	EXISTING FACILITIES, PON1219EE3	1,377,904
<b>MetroPCS Wireless Inc.</b>	FUEL CELLS, RPS Customer Sited Tier Fuel C	50,000
<b>Michael Leuze</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	100,074
<b>Michael P. Stangl, P.E.</b>	WORKFORCE DEVELOPMENT, Job Placement for SRV	27,528
<b>Middletown City Schools</b>	NEW CONSTRUCTION PROGRAM, NCP98742 - New Elementary Sc..	279,617
<b>Midway Fire District</b>	NEW CONSTRUCTION PROGRAM, NCP13161 - New Midway Fire Sta	11,155
<b>Mike Goodrich Farm</b>	AGRICULTURE ENERGY EFFICIENCY, AEEP - Pre Enc	5,468
<b>mindSHIFT Technologies, Inc.</b>	NYSERDA ADMINISTRATION, Corporate Marketing	503,486
	NYSERDA ADMINISTRATION, Hosting Cloud Solutions	926,136
	NYSERDA ADMINISTRATION, NYSERDA Administration	500,000
<b>Mission Hills Construction, LLC</b>	NEW YORK ENERGY STAR HOMES, New Construction	241,000
<b>MJJ Builders Corp</b>	NEW YORK ENERGY STAR HOMES, New Construction	205,000
<b>MMT Cattle Inc</b>	AGRICULTURE ENERGY EFFICIENCY, AEEP - Pre Enc	19,951
<b>Mobile Fueling Solutions, LLC</b>	CLEAN TRANSPORTATION, Mobile Fueling Solutions, LLC	300,000
<b>Monolith Solar Associates, LLC</b>	<200KW PV, NY Sun	35,796
	<200KW PV, NY-Sun	3,378,867
	<200KW PV, NYSERDA Administration	5,876,187
	<200KW PV, PV Incentive Program	164,416

**Contracts Completed**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Monolith Solar Associates, LLC</b>	<200KW PV, RES-NewConst(no longer in use)	2,057,583
	NY-SUN, NYSEDA Administration	107,480
<b>Monroe County</b>	NEW CONSTRUCTION PROGRAM, NCP12092 - Monroe County Fleet	24,188
<b>Montefiore Medical Center</b>	INDUSTRIAL PROCESS EFFICIENCY, Existing Facilities IPE 3	635,070
	NEW CONSTRUCTION PROGRAM, NCP98250 - Substance Abuse T..	7,959
<b>Morgan Titus LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	83,000
<b>Mount Sinai Medical Center</b>	NEW CONSTRUCTION PROGRAM, NCP12657 - 236 East 85th Stree	30,000
<b>Municipal Housing Authority of the City</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	423,905
<b>National Oilheat Research Alliance dba</b>	ADVANCED BUILDINGS, NYSEDA Administration	191,242
<b>NationalGrid Energy Management, LLC</b>	<200KW PV, NY-Sun	116,592
<b>Natlew Corp.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	23,000
<b>NECEC Institute</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cleantech ..	100,000
<b>NESCAUM</b>	CLEAN TRANSPORTATION, Multi-State ZEV Collaborative:	100,000
<b>NESEA</b>	Commercial Real Estate Ten, 2016 NESEA Sponsorship	3,750
	Multifam Performance Pgm, 2016 NESEA Sponsorship	7,500
	Real Time Enrgy Management, 2016 NESEA Sponsorship	3,750
<b>Network Experts of New York, Inc.</b>	NYSEDA ADMINISTRATION, Hlve Manager 2017 - 2018	6,500
<b>New Water Street Corporation</b>	EXISTING FACILITIES, EFP1689 - New Water St. Corp.	1,353,000
<b>New West Technologies, LLC.</b>	CLEAN TRANSPORTATION, ADVANCED TRANSPORTATION TEC..	97,972
	CLEAN TRANSPORTATION, Elect Refrig Transp Network	298,686
	CLEAN TRANSPORTATION, Hybrid Thermal Energy Storage	50,000
	CLEAN TRANSPORTATION, Integrating Mobility Strategie	234,418
	CLEAN TRANSPORTATION, Thermal Energy Storage for Ele	246,639
<b>New York City DOT</b>	CLEAN TRANSPORTATION, NYC deliverEASE Equip. Support	112,500
<b>New York Container Terminal, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	286,037
<b>New York Geothermal Energy Organization</b>	RENEWABLE HEAT NY, 2017 NY-GEO Conf. Sponsorship	5,000
<b>New York Light Energy LLC</b>	<200KW PV, NYSEDA Administration	96,040
	<200KW PV, PV Incentive Program	735,123
	<200KW PV, RES-NewConst(no longer in use)	376,284
<b>New York Network - SUNY</b>	INDUSTRIAL PROCESS EFFICIENCY, NYSEDA Administration	1,219,824
<b>New York Power Authority</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSEDA-NY..	511,319
	RENEWABLES & DER INTEGRATION, EPTD Smart Grid Program	1,683,494
<b>New York Power Authority,</b>	SMART GRID SYSTEMS, ImpDynamic Perf of NY Pwr Grid	250,000
<b>New York Presbyterian Hospital</b>	EXISTING FACILITIES, EFP1936-New York Presbyterian	306,323
	EXISTING FACILITIES, EFP2196 - New York Presbyteria	231,677
<b>New York Solar Energy Industries Associa</b>	COMBINED HEAT AND POWER, CHP Conference/Expo Promotion	5,000
<b>New York Solar Solutions LLC</b>	<200KW PV, NY-Sun	14,000
<b>New York State Forum for IRM</b>	NYSEDA ADMINISTRATION, NYS Forum Membership - renewal	5,500
<b>New York State Solar Farm Inc.</b>	<200KW PV, NY Sun	19,508
	<200KW PV, NY-Sun	37,070
	<200KW PV, PV Incentive Program	14,490
<b>New York University</b>	EXISTING FACILITIES, EFP0089 - NYU	51,310
	EXISTING FACILITIES, EFP1763 - NYU College of Denti	87,000
	EXISTING FACILITIES, EFP1979 - New York University;	565,972
<b>Newport Ventures, Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	3,500
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	297,399

**Contracts Completed**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Nexamp Capital, LLC</b>	NY-SUN, LTF Westchester Solar	465,286
<b>Nexant, Incorporated</b>	ADVANCED BUILDINGS, Technical Review and Program S	2,825
	EXISTING FACILITIES, .	35,228
	EXISTING FACILITIES, Technical Review and Program S	68,186
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	874,146
	Industrial Process Effic, Technical Review and Program S	6,870
	INDUSTRIAL PROCESS EFFICIENCY, .	20,079
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	9,622
<b>Niagara Falls Bridge Comm.</b>	NEW CONSTRUCTION PROGRAM, NCP12433 - Duty Free Shop	19,368
<b>Niagara Falls Housing Authority</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	211,000
<b>Niagara Wind &amp; Solar Inc.</b>	SMALL WIND, Small Wind Turbine Incentive	166,500
	SMALL WIND, Wind Turbine Incentive	703,306
<b>Nickels Energy Solutions LLC</b>	<200KW PV, NY-Sun	5,184
<b>Nixon Peabody LLP</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Green Ban..	300,000
	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	125,000
<b>NJP Consulting Inc.</b>	<200KW PV, NY Sun	13,120
<b>NOHMs Technologies, Inc.</b>	CLEAN TRANSPORTATION, Feasibility Study for Electrol	149,994
	CLEAN TRANSPORTATION, NY-BEST Bench to Prototype	250,000
<b>Noresco LLC</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	47,177
<b>Normandy Owners Corporation</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	147,350
<b>Norstar Development USA, LP</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	120,000
<b>North Harbor Dairy, LLC</b>	ANAEROBIC DIGESTER, North Harbor Dairy LLC	2,000,000
<b>North Queensview Homes Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	114,000
<b>Northeast Agriculture Technology Corpora</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	125,000
<b>Northeast Clean Heat &amp; Power Initiative</b>	COMBINED HEAT AND POWER, CHP Conference/Expo Promotion	6,000
<b>Northeast Energy Efficiency Partnerships</b>	EVALUATION, HEMS Market Research	50,000
	Prof & Expert Engagement, NEEP's 2016 Membership	25,000
<b>Northeast Smart Energy, LLC</b>	<200KW PV, NYSERDA Administration	14,000
<b>Northeast States for Coordinated Air Use</b>	ENVIRONMENTAL RESEARCH, Devel. Biomass Heating Roadmap	99,619
	OTHER PROGRAM AREA, Devel. Biomass Heating Roadmap	399,998
<b>Nova Bus Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial and Process Efficie	110,792
<b>Novel Approaches Solar Applications, LLC</b>	<200KW PV, NY Sun	5,544
	<200KW PV, NY-Sun	5,544
<b>Novus Engineering, P.C.</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	12,351
	NEW CONSTRUCTION PROGRAM, Energy Modeling Partner	12,444
	NEW CONSTRUCTION PROGRAM, NCP TA Services	19,074
<b>NRG Residential Solar Solutions, LLC</b>	<200KW PV, NY-Sun	173,783
	<200KW PV, NYSERDA Administration	60,946
	<200KW PV, RES-NewConst(no longer in use)	14,710
<b>Nulux</b>	ADVANCED BUILDINGS, LED Downlight Luminaire	50,000
<b>NWPH, Inc</b>	COMBINED HEAT AND POWER, NY Palace Hotel CHP Demo	2,000,000
<b>NY Susquehanna &amp; Western Railway</b>	CLEAN TRANSPORTATION, PON 2982: Locomotive Idle Redu	90,000
<b>NYC &amp; Lower Hudson Valley Clean Communit</b>	CLEAN TRANSPORTATION, Battery Lease Feasibility and	74,529
	CLEAN TRANSPORTATION, Electric Vehicle Supply Equipm	200,000
<b>NYC Partnership Housing Dev. Fund Co.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	809,847

**Contracts Completed**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>NYREER, LLC</b>	<200KW PV, RES-NewConst(no longer in use)	65,812
<b>NYS Labor Management Cooperation Committ</b>	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	519,865
<b>NYS Office of Mental Health</b>	NEW CONSTRUCTION PROGRAM, NCP9236 - Central Services Bui	12,165
<b>NYS Office of Parks, Recreation and</b>	NEW CONSTRUCTION PROGRAM, NCP11683 - Niagara Falls State	10,905
<b>NYS Technology Enterprise Corporation</b>	NYSERDA ADMINISTRATION, IV&V Services	190,000
<b>O'Connell Electric Company</b>	<200KW PV, NY-Sun	79,888
<b>Oak Hill Terrace Apartments LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	96,250
<b>OLA Consulting Engineers, P.C.</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	89,723
	NEW CONSTRUCTION PROGRAM, NCP TA Services - OLA 20136	139,250
<b>Omni Housing Development LLC</b>	NEW YORK ENERGY STAR HOMES, NYSERDA Administration	186,000
<b>Omnicap Group, LLC</b>	NEW YORK GREEN BANK, Financial Advisory Services	5,500
<b>Once Again Nut Butter</b>	NEW CONSTRUCTION PROGRAM, NCP11925 - Once Again Nut Butt	10,450
<b>One NY Plaza Co</b>	NEW CONSTRUCTION PROGRAM, NCP12556 - 1 NY Plaza Retail C	8,540
<b>ONEGREENWORLDSOLAR, LLC</b>	<200KW PV, NYSERDA Administration	10,500
	<200KW PV, PV Incentive Program	43,673
	<200KW PV, RES-NewConst(no longer in use)	9,419
<b>OnForce Solar</b>	<200KW PV, NY-Sun	16,574
	<200KW PV, NYSERDA Administration	5,494
	NY-SUN, New York Sun Competitive PV Pr	1,513,179
	NY-SUN, PV System at Allway Tools	542,520
	WORKFORCE DEVELOPMENT, PON 2033 OJT	12,480
<b>Onondaga Nation</b>	NEW CONSTRUCTION PROGRAM, NCP12115 - Onondaga Nation Fir	9,004
<b>Ontario County</b>	NEW CONSTRUCTION PROGRAM, NCP12865 - FLCC Geneva Cam..	29,488
<b>Orange County</b>	CLEANER GREENER COMMUNITIES, CGC28315 - Orange County	217,000
<b>Orange County Community College</b>	NEW CONSTRUCTION PROGRAM, NCP10177 - Orange County Co..	234,907
<b>ORE F4 ProjectCo, LLC</b>	<200KW PV, NY Sun	10,755
	<200KW PV, NY-Sun	41,866
	<200KW PV, NYSERDA Administration	6,122
<b>Owego Garden Associates, LLC</b>	NEW YORK ENERGY STAR HOMES, Codes & New Construction	156,000
<b>OwnBackup Inc.</b>	NYSERDA ADMINISTRATION, Salesforce Backup Solution	20,948
<b>Pace University</b>	NEW CONSTRUCTION PROGRAM, NCP12799 - Field House	27,156
<b>Pace University Energy &amp; Climate Center</b>	COMBINED HEAT AND POWER, CHP	50,000
<b>Pacific Solar LLC</b>	<200KW PV, RES-NewConst(no longer in use)	8,040
<b>Paidge Steel, LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12816 - 59 Paidge Avenue	20,600
<b>Paradise Energy Solutions, LLC</b>	<200KW PV, NY Sun	55,848
	<200KW PV, NY-Sun	24,850
	<200KW PV, RES-NewConst(no longer in use)	44,550
<b>Park Monroe HDFC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	172,700
	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	51,250
<b>Park Monroe II Rehab HDFC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	66,000
<b>Path Petroleum Corp.</b>	FUEL NY, GSP00783 - Path Petroleum Corp	13,000
<b>Pathfinder Engineers &amp; Architects, LLP</b>	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	15,363
<b>Paul Smith's College</b>	ENVIRONMENTAL RESEARCH, eDNA and ADK Brooktrout	32,488
<b>Pelham Bay Owners' Corporation</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	109,900
<b>Pennwood Apartments, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	171,350
<b>Performance Systems Development</b>	NYSERDA ADMINISTRATION, TREAT Site Licenses - Renewal	6,400

**Contracts Completed**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Pfister Energy, Inc.</b>	<200KW PV, RES-NewConst(no longer in use)	69,500
<b>Philip Barnes Farm</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	8,337
<b>Picker Properties</b>	NY-SUN, PV System @ Nick Pak	518,891
<b>Pinnacle Athletic Campus, LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12005 - Pinnacle Athletic C	117,479
<b>Pitkin Apartments LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	89,000
	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	13,350
<b>Plutus Development LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	32,500
<b>PMG Northeast LLC</b>	FUEL NY, PGI00017 - PMG Northeast LLC	59,516
	FUEL NY, PGI00020 - PMG Northeast LLC	52,085
	FUEL NY, PGI00021 - PMG Northeast LLC	53,921
	FUEL NY, PGI00023 - PMG Northeast LLC	71,035
	FUEL NY, PGI00047 - PMG Northeast LLC	47,485
	FUEL NY, PGI00048 - PMG Northeast LLC	65,126
	FUEL NY, PGI00049 - PMG Northeast LLC	66,287
	FUEL NY, PGI00054 - PMG Northeast LLC	70,796
	FUEL NY, PGI00055 - PMG Northeast LLC	75,416
	FUEL NY, PGI00056 - PMG Northeast LLC	67,534
	FUEL NY, PGI00057 - PMG Northeast LLC	84,278
	FUEL NY, PGI00076 - PMG Northeast LLC	57,644
	FUEL NY, PGI00077 - PMG Northeast LLC	67,582
	FUEL NY, PGI00078 - PMG Northeast LLC	78,193
	FUEL NY, PGI00128 - PMG Northeast LLC	64,195
	FUEL NY, PGI00129 - PMG Northeast LLC	75,208
	FUEL NY, PGI00136 - PMG Northeast LLC	65,102
	FUEL NY, PGI00139 - PMG Northeast LLC	59,356
	FUEL NY, PGI00162 - PMG Northeast LLC	69,821
	FUEL NY, PGI00164 - PMG Northeast LLC	64,142
	FUEL NY, PGI00167 - PMG Northeast LLC	57,029
	FUEL NY, PGI00172 - PMG Northeast LLC	65,514
	FUEL NY, PGI00197 - PMG Northeast LLC	73,332
<b>Port Byron Central School District</b>	FLEXIBLE TECHNICAL ASSISTANCE, 1746EPS1SB	9,250
<b>PosiGen LLC</b>	<200KW PV, NY-Sun	46,584
<b>Positive Energy NY, LLC</b>	<200KW PV, NY-Sun	65,651
<b>Post Road Associates LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12725 - 101 East Post Road	13,117
<b>Potsdam Specialty Papers, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	40,917
<b>Potter Farm LLC</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	13,792
<b>Power Management Co., LLC</b>	<200KW PV, NYSERDA Administration	114,825
<b>President Container Group II, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	65,382
<b>PRIME Coalition Inc.</b>	OTHER PROGRAM AREA, PRIME Event Sponsorship	9,000
<b>Purharvest Energy, LLC</b>	<200KW PV, NYSERDA Administration	23,760
<b>Pyrotek, Inc</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	242,997
<b>Pyrus Energy, Inc.</b>	<200KW PV, NY-Sun	10,752
<b>Quad State Solar</b>	<200KW PV, NY-Sun	13,072
	<200KW PV, NYSERDA Administration	13,116
<b>Quasar Enterprises LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	37,500
<b>Quixotic Systems, Inc.</b>	<200KW PV, NY-Sun	20,813

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>QwikSolar, LLC</b>	<200KW PV, High Perf New Bldg(not in use)	24,840
	<200KW PV, NY Sun	41,136
	<200KW PV, NY-Sun	202,542
	<200KW PV, NYSERDA Administration	231,610
	<200KW PV, RES-NewConst(no longer in use)	737,032
<b>R-Display and Lighting LLC</b>	ADVANCED BUILDINGS, Lower Cost OLED Lighting	119,000
<b>R. Edge Contracting LLC</b>	<200KW PV, NY-Sun	38,956
<b>Rafferty Enterprises, Inc.</b>	NYSERDA ADMINISTRATION, Temp Employee	53,650
	NYSERDA ADMINISTRATION, Temp Employee Services	170,416
	NYSERDA ADMINISTRATION, Temp Services	39,153
<b>Railside Properties LLC</b>	NEW CONSTRUCTION PROGRAM, NCP3140 - Kilmer Building	56,679
<b>Randstad North America, L.P.</b>	>200KW PV, Temp Services Contract	4,050
	NEW YORK GREEN BANK, Temp Services	266,604
	NY-SUN, Temp Services	61,000
	NY-SUN, Temp Services Contract	61,987
	NYSERDA ADMINISTRATION, Temp Services	44,188
	NYSERDA ADMINISTRATION, Temp Services Contract	163,815
	NYSERDA ADMINISTRATION, Temporary Services	23,067
<b>Ratnik Industries, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	48,869
<b>RCPI Landmark Properties, LLC</b>	EXISTING FACILITIES, Rockefeller Center CHP	2,000,000
<b>Reading Electric Renewable, LLC</b>	<200KW PV, RES-NewConst(no longer in use)	140,000
	NY-SUN, Commercial Industrial	166,011
	NY-SUN, New York Sun Competitive PV Pr	367,944
	NY-SUN, PV System @ Avon Central Schoo	564,401
	NY-SUN, PV System @ City of Ogdensburg	473,605
<b>Real Goods Energy Tech, Inc</b>	<200KW PV, NY-Sun	8,370
	<200KW PV, NYSERDA Administration	5,292
<b>Real Time Services, Inc.</b>	NYSERDA ADMINISTRATION, Hub Wireless Microphone NYC	8,352
<b>Rebuilding Homes, LLC</b>	NEW YORK ENERGY STAR HOMES, New Construction	6,000
<b>RED Rochester</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	43,256
<b>Regency Towers Associats</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	157,500
	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	33,750
<b>Regeneron Pharmaceuticals Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	168,258
	NEW CONSTRUCTION PROGRAM, NCP11169 - 42-32 Project	85,345
<b>Regional Economic Models, Inc</b>	ENERGY ANALYSIS, REMI Fee and License	6,000
<b>Renovus Energy, Inc.</b>	<200KW PV, NY Sun	69,624
	<200KW PV, NY-Sun	230,844
	<200KW PV, NYSERDA Administration	19,380
	<200KW PV, RES-NewConst(no longer in use)	178,465
	>200KW PV, NY-Sun C&I	27,039
<b>Rensselaer Polytechnic Institute</b>	ADVANCED BUILDINGS, CASE	600,000
	ENVIRONMENTAL RESEARCH, Study of LED in Controlled Env	315,541
	SMART GRID SYSTEMS, State Estimation Using PMUs	150,048
<b>Rensselaer Polytechnic Institute-LRC</b>	ADVANCED BUILDINGS, LED Reliability Test Method	199,726
<b>Research Foundation of CUNY</b>	CLEAN TRANSPORTATION, Implementing Ecodriving in NYS	29,999
	WORKFORCE DEVELOPMENT, Workforce Development	185,797

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Research Foundation of SUNY</b>	ADVANCED BUILDINGS, Behavior Research & Energy Dec	99,936
	CLEAN TRANSPORTATION, Stationary Grid Scale Energy S	129,574
	ENVIRONMENTAL RESEARCH, Pretreatment method OCC	74,429
	ENVIRONMENTAL RESEARCH, Xylose from Hot Water Extracts	250,000
	RENEWABLES & DER INTEGRATION, PV Manufacturing Consortium	5,000,000
<b>Research Foundation of The City</b>	CLEAN TRANSPORTATION, Flow-Assisted Nickel-Zinc Batt	200,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, SunShot N..	171,226
	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	599,998
	WORKFORCE DEVELOPMENT, Workforce Development and Trai	299,533
<b>Resource Dynamics Corp</b>	COMBINED HEAT AND POWER, PON 800: Rpt on opportunity fu	9,000
<b>Ringlead, Inc.</b>	NYSERDA ADMINISTRATION, RingLead Software - 3 years	49,000
<b>Riverside Towers Corp.</b>	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	12,300
<b>Robert A. Kanauer Jr.</b>	<200KW PV, NY-Sun	5,280
<b>Robert C. Hassman Jr.</b>	<200KW PV, NY-Sun	17,220
<b>Robert O Gurman</b>	SMART GRID SYSTEMS, NY Prize Stage 2 Scope of Wk	22,500
<b>Roccon Inc</b>	NEW CONSTRUCTION PROGRAM, NCP12859 - Constantinos Market	17,171
<b>Rochester District Heating Cooperative</b>	SMART GRID SYSTEMS, Rochester Community NY Prize	71,000
<b>Rochester Institute of Technology</b>	NEW CONSTRUCTION PROGRAM, NCP12015 - RIT College of Heal	42,633
<b>Rochester Tool and Mold Inc</b>	NEW CONSTRUCTION PROGRAM, NCP14037 - Syntec Optics-OFLT	45,000
<b>Rockland Community College</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program	79,925
<b>Rosenblum Rubin Property Services, LLC</b>	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mana..	223,850
<b>Ross Solar Group, LLC</b>	<200KW PV, NY-Sun	93,221
	NY-SUN, 28798 RPS CST Regional Program	1,121,872
	NY-SUN, RPS CST Regional Program	1,134,350
<b>Rudin Management Co. Inc.</b>	EXISTING FACILITIES, EFP2334 - Rudin Mgmt - 2 loca	485,266
<b>Rural Generation &amp; Wind (Rodney Weaver)</b>	<200KW PV, NY-Sun	32,812
	<200KW PV, RES-NewConst(no longer in use)	14,904
<b>Rustic Village</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	1,360,000
<b>RXR Realty LLC</b>	EXISTING FACILITIES, EFP2479 - RXR Realty - Multi	116,594
<b>RXR SL Owner LLC</b>	EXISTING FACILITIES, EFP2007 - RXR Realty - Starre	1,146,952
<b>S&amp;M Service Station Corp.</b>	FUEL NY, GSP-00739 S&M Service Station	13,000
<b>Sabosa Realty Co. LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	67,850
<b>Safari Energy LLC</b>	<200KW PV, NY-Sun	106,980
	<200KW PV, RES-NewConst(no longer in use)	277,856
	NY-SUN, New York Sun Competitive PV Pr	1,470,050
	NY-SUN, NY-Sun	2,181,871
	NY-SUN, RPS CST Regional Program	109,272
<b>Saratoga Hospital</b>	NEW CONSTRUCTION PROGRAM, NCP12253 - The Saratoga Hospit	79,079
<b>Satguru Gas Inc.</b>	FUEL NY, GSP00687 - Satguru Gas Inc.	10,000
<b>Save-A-Watt Conservation LLC</b>	EXISTING FACILITIES, EFP2486-Save-A-Watt	79,620
<b>Scott Shipley</b>	<200KW PV, NY-Sun	26,494
	<200KW PV, RES-NewConst(no longer in use)	10,800
<b>Sea Bright Solar, LLC</b>	<200KW PV, NY Sun	10,628
	<200KW PV, NY-Sun	65,655
<b>Seal &amp; Design, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	15,347
<b>Sealing Devices Inc.</b>	NY-SUN, New York Sun Competitive PV Pr	332,442

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Sean Kelley	<200KW PV, NY-Sun	5,280
Sedefian Consulting	ENVIRONMENTAL RESEARCH, Modeling Deposition	140,187
Seed Renewables Inc.	<200KW PV, NY Sun	5,130
	<200KW PV, NY-Sun	29,471
	<200KW PV, NYSERDA Administration	11,440
	<200KW PV, RES-NewConst(no longer in use)	7,178
Selux Corporation	RENEWABLES & DER INTEGRATION, Solar Powered LED Lighting ..	182,937
Semrock, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial & Agriculture	49,891
	INDUSTRIAL PROCESS EFFICIENCY, Resiliency & Emergency Prep..	525,723
Sentient Corporation	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Wind Turbi..	199,960
Sentry Air Systems, Inc.	NYSERDA ADMINISTRATION, Corporate Marketing	6,009
SES Dominion, LLC	<200KW PV, NYSERDA Administration	74,520
Shadetree Farms	AGRICULTURE ENERGY EFFICIENCY, Agriculture Disaster Energy Ef	65,400
Sheland Farms	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	78,464
Shelter Rock Builders, LLC	NEW YORK ENERGY STAR HOMES, New Construction	53,500
Sherri L Krahulik	<200KW PV, NYSERDA Administration	70,000
Sherwood Village Section D Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	112,500
SHI, Inc.	NYSERDA ADMINISTRATION, ADA-Compliance Subscription	15,544
	NYSERDA ADMINISTRATION, Embarcadero Support 17 - 18	9,966
	NYSERDA ADMINISTRATION, SQL Diagnostic Manager	10,902
Shurgard Storage Centers LLC	NEW CONSTRUCTION PROGRAM, NCP13152 - Shurgard Storage	113,901
Shutterstock, Inc.	NYSERDA ADMINISTRATION, WebDAM/Shutterstock subscripiti	8,177
Sierra Infosys Inc.	NYSERDA ADMINISTRATION, Peoplesoft Support Services	298,800
Silver Lining Solar	<200KW PV, NY-Sun	56,503
Siteimprove, Inc.	NYSERDA ADMINISTRATION, Corporate Marketing	17,916
Skadden, Arps, Slate, Meagher & Flom LL	Green Bank Outside Legal Couns	34,340
	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	211,511
Skidmore College	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Clean Tech..	400,000
Skyline Solar Inc.	<200KW PV, NY-Sun	47,649
	<200KW PV, NYSERDA Administration	17,552
	<200KW PV, RES-NewConst(no longer in use)	45,900
SL Green Realty Corporation	EXISTING FACILITIES, EFP2472 - SL Green - SL Green	17,305
Sleepers Ridge Holsteins	AGRICULTURE ENERGY EFFICIENCY, AEEP - Pre-Encumbered	6,987
SLG 100 Park LLC	EXISTING FACILITIES, EFP2283 - SL Green Realty - 42	32,734
Smith Engineering PLLC	Flexible Tech Assistance, FlexTech Consultant Selection	20,608
Snow Belt Housing Company, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	76,278
	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	22,974
SNT Development Company	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	80,000
SoBRO Development Corporation	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	149,692
Societe Generale	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	403,715
Solar Alchemy, Inc.	<200KW PV, NY-Sun	49,276
	<200KW PV, NYSERDA Administration	14,880
Solar Dad and Sons Inc	<200KW PV, NY-Sun	32,701
Solar Development Group LLC	<200KW PV, NY-Sun	61,100
Solar Energy LLC	<200KW PV, PV Incentive Program	59,780
Solar Energy Systems, LLC	<200KW PV, NY-Sun	115,000



**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Solar Energy Systems, LLC</b>	<200KW PV, NYSERDA Administration	75,000
	NY-SUN, RPS CST Regional Program.	2,522,166
<b>Solar Energy World NJ, LLC</b>	<200KW PV, NYSERDA Administration	13,237
	<200KW PV, RES-NewConst(no longer in use)	36,954
<b>Solar Generation, Inc.</b>	<200KW PV, NY Sun	6,700
	<200KW PV, NY-Sun	53,893
	<200KW PV, RES-NewConst(no longer in use)	18,720
<b>Solar Home NJ</b>	<200KW PV, NY-Sun	85,158
	<200KW PV, NYSERDA Administration	12,100
<b>Solar Liberty Energy Systems, Inc</b>	<200KW PV, NY Sun	8,568
	<200KW PV, NY-Sun	813,859
	<200KW PV, NYSERDA Administration	125,718
	<200KW PV, PV Incentive Program	84,893
	<200KW PV, RES-NewConst(no longer in use)	226,466
<b>Solar One, Inc.</b>	<200KW PV, NY-Sun	15,700
<b>Solar Power Company, LLC</b>	NY-SUN, Assignment agreement-3 NTPs	205,945
<b>Solar Project Solutions Inc</b>	<200KW PV, NY-Sun	6,916
<b>Solar Promotion International GmbH</b>	NY-SUN, 2017 Intersolar Summit USAEast	25,000
<b>SolarCity Corporation</b>	<200KW PV, NY Sun	94,603
	<200KW PV, NY-Sun	253,692
	<200KW PV, NYSERDA Administration	36,275
	<200KW PV, RES-NewConst(no longer in use)	25,475
	>200KW PV, NY-Sun C&I	382,435
	NY-SUN, New York Sun Competitive PV Pr	955,685
	NY-SUN, RPS CST Regional Program	236,757
<b>Solid Cell, Inc.</b>	CLEAN TRANSPORTATION, Commercialization of SOFC	61,000
<b>Sologistics, LLC</b>	NYSERDA ADMINISTRATION, Salesforce Implementation Serv	200,000
<b>Soltage VUL 1600 Chemung LLC</b>	NY-SUN, New York Sun Competitive PV Pr	2,067,523
<b>Southridge Cooperative Section 1, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	180,000
<b>Specialized Packaging Radisson, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	90,438
<b>Spencer Van Etten Central School Distric</b>	EXISTING FACILITIES, EFP2477 - Spencer Van Etten	76,122
<b>SRC Sportsplex</b>	NEW CONSTRUCTION PROGRAM, NCP10800 SRC Sportsplex	20,397
<b>SSA Solar of NY, LLC</b>	NY-SUN, Sun Competitive Program - Wil	1,001,781
<b>St Tropez Condo</b>	EXISTING FACILITIES, EFP2370 - St Tropez Condo - St	346,560
<b>St. Joseph's Hospital Health Center</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program-PON 1746	24,000
<b>Stantec Consulting Services, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	38,939
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	32,313
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	151,568
<b>Starwood Hotels and Resorts Worldwide</b>	EXISTING FACILITIES, EFP2136 - The Westin Hotel - 2	43,568
<b>State University of New York College</b>	SMART GRID SYSTEMS, Village of Geneseo NY Prize	100,000
<b>State University of NY @ New Platz</b>	EXISTING FACILITIES, EFP1278 - SUNY New Paltz	81,354
	NEW CONSTRUCTION PROGRAM, NCP12606 - Service Building	12,845
<b>Staten Island Renewable Energy Corp.</b>	<200KW PV, NY-Sun	12,006
	<200KW PV, RES-NewConst(no longer in use)	9,660
<b>Staten Island University Hospital</b>	SMART GRID SYSTEMS, City of NY, Staten Island	100,000
<b>Steed Energy LLC</b>	<200KW PV, NY-Sun	26,948

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Stellar 83 Court LLC</b>	NEW CONSTRUCTION PROGRAM, NCP98254 - Midtown Mall (Stell	45,910
<b>Steven Winter Associates, Inc.</b>	ADVANCED BUILDINGS, Construction Materials	95,057
	ADVANCED BUILDINGS, Multifamily use of batteries	101,152
	ADVANCED BUILDINGS, Technical Review and Program S	12,618
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	111,500
	NEW CONSTRUCTION PROGRAM, SWA - EMP	19,076
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	85,224
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	15,794
<b>Stevens Institute of Technology</b>	ENVIRONMENTAL RESEARCH, Storm surge modeling	133,759
<b>Stewarts Shops Corp.</b>	NEW CONSTRUCTION PROGRAM, NCP12255 - Stewarts #455 -OF..	6,920
	NEW CONSTRUCTION PROGRAM, NCP12634 - Stewarts 120 - OFLT	5,761
	NEW CONSTRUCTION PROGRAM, NCP13083 - Stewarts 453-OFLT	6,304
	NEW CONSTRUCTION PROGRAM, NCP13084 - Stewarts Baldwinsvi	6,005
	NEW CONSTRUCTION PROGRAM, NCP13085 - Stewarts 162-OFLT	5,841
<b>Stony Brook Foundation - Advanced Energy</b>	OTHER PROGRAM AREA, 2018 Advanced Energy Conf	100,000
<b>STR Systems NY, LLC</b>	NY-SUN, RPS CST Regional Program	455,467
<b>Sullivan Member LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11461 - 72 Sullivan St	51,010
<b>Sun Edison, LLC</b>	NY-SUN, On-Site Power	177,264
<b>Sun Source Technologies</b>	<200KW PV, NY Sun	11,680
	<200KW PV, NY-Sun	110,395
	<200KW PV, NYSERDA Administration	18,416
	<200KW PV, RES-NewConst(no longer in use)	56,632
<b>SuNation Solar Systems, Inc.</b>	<200KW PV, NY Sun	51,580
	<200KW PV, NY-Sun	33,273
	<200KW PV, NYSERDA Administration	7,456
<b>Sundog Solar, Inc.</b>	<200KW PV, NY-Sun	13,048
	RENEWABLE THERMAL, NY-Sun	6,431
<b>SunEdison Governmental Solutions, LLC</b>	>200KW PV, Commercial/Industrial PV	990,966
	>200KW PV, Commerical/IndustrialPV	817,291
	NY-SUN, Commercial/Industrial PV Progr	990,966
<b>SunEdison Origination1, LLC</b>	NY-SUN, PV System @ Saratoga Springs -	1,464,096
<b>Sungevity Development, LLC</b>	<200KW PV, NY-Sun	17,675
	<200KW PV, NYSERDA Administration	8,085
<b>Sungevity, Inc.</b>	<200KW PV, NY Sun	5,304
	<200KW PV, NY-Sun	20,186
<b>Sunnova Energy Corp</b>	<200KW PV, NY-Sun	14,655
	<200KW PV, NYSERDA Administration	8,262
<b>SunPower Capital, LLC</b>	<200KW PV, NY Sun	332,962
	<200KW PV, NY-Sun	1,247,500
	<200KW PV, NYSERDA Administration	113,122
	<200KW PV, RES-NewConst(no longer in use)	97,395
<b>SunRay Power LLC</b>	NY-SUN, RPS CST Regional Program	537,584
<b>SUNRISE ELECTRICAL SERVICES</b>	<200KW PV, NY-Sun	17,992
<b>Sunrise Solar Solutions, LLC</b>	<200KW PV, NY Sun	9,681
	<200KW PV, NY-Sun	364,063
	<200KW PV, NYSERDA Administration	84,053

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Sunrise Solar Solutions, LLC</b>	<200KW PV, RES-NewConst(no longer in use)	39,124
<b>SunRun, Inc</b>	<200KW PV, NY Sun	127,159
	<200KW PV, NY-Sun	194,662
	<200KW PV, NYSERDA Administration	39,998
	<200KW PV, RES-NewConst(no longer in use)	8,415
<b>Sunvestment Group LLC</b>	OTHER PROGRAM AREA, Group Community PPA	25,000
	WORKFORCE DEVELOPMENT, Group Community PPA	25,000
<b>SunWood Systems LLC</b>	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	5,358
<b>SUNY - ESF</b>	ADVANCED BUILDINGS, Advanced Buildings Program	99,859
	ENVIRONMENTAL RESEARCH, moisture content of test fuel	6,000
	OTHER PROGRAM AREA, moisture content of test fuel	43,567
<b>SUNY Atmospheric Science Research Ctr</b>	RENEWABLES & DER INTEGRATION, Carbon- electrodes w/ low PG..	945,000
<b>SUNY Buffalo</b>	NEW CONSTRUCTION PROGRAM, NCP98455 - Hayes Hall (Univers	51,421
<b>SUNY Canton</b>	ADVANCED BUILDINGS, Testing of Combustion Performa	160,000
	ENVIRONMENTAL RESEARCH, Testing of Combustion Performa	32,000
<b>SUNY College of Environmental Science an</b>	ENVIRONMENTAL RESEARCH, ESF - Hao	40,000
<b>SUNY Fredonia</b>	NEW CONSTRUCTION PROGRAM, NCP98492 - SUNY Fredonia Sci..	146,519
<b>SUNY Oneonta</b>	NEW CONSTRUCTION PROGRAM, NCP12789 -Wellness Center-OF..	9,934
<b>SUNY Research Foundation</b>	Low Rise New Construction, 2017 NYS Green Bldg Conf	2,625
	Multifam New Construction, 2017 NYS Green Bldg Conf	2,625
<b>SUNY Ulster</b>	WORKFORCE DEVELOPMENT, Training, Field Examination Ca	139,718
	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	599,296
<b>Sustainable Energy Advantage, LLC</b>	ENERGY ANALYSIS, Renewable Portfolio Standard T	50,000
	NYSERDA ADMINISTRATION, Renewable Portfolio Standard T	11,609
	RENEWABLES & DER INTEGRATION, Renewable Portfolio Standard..	36,591
	SMART GRID SYSTEMS, Renewable Portfolio Standard T	44,670
<b>Sustainable Energy Developments Inc.</b>	<200KW PV, NY Sun	60,440
	<200KW PV, NY-Sun	108,346
	SMALL WIND, Wind Turbine Incentive	1,000,000
<b>Susten Corp</b>	<200KW PV, NY-Sun	6,048
<b>Syracuse Label &amp; Surround Printing</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	104,483
<b>Syracuse University</b>	ADVANCED BUILDINGS, Enclosed-Aisle By-Pass Fans	100,000
	SMART GRID SYSTEMS, City of Syracuse Near Westside	100,000
<b>Syracuse University Dept. of Energy &amp; C</b>	NEW CONSTRUCTION PROGRAM, NCP10143 - Dineen Hall College	117,786
<b>Systems Management Planning, Inc.</b>	NYSERDA ADMINISTRATION, NetAppRenewal2240	15,162
	NYSERDA ADMINISTRATION, VMWare Airwatch - 2017 - 2018	7,657
<b>T.McElligott, Inc.</b>	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	14,789
<b>Taconic Hills CSD</b>	NEW CONSTRUCTION PROGRAM, NCP12978 - Taconic Hills K12 S	7,262
<b>TAG Mechanical Systems, Inc.</b>	<200KW PV, NY-Sun	21,612
<b>Taitem Engineering, P.C.</b>	<200KW PV, NY Sun	24,559
	<200KW PV, NY-Sun	93,439
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	21,500
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	12,379
	NEW CONSTRUCTION PROGRAM, Taitem - EMP	11,121
<b>TAYCO Enterprises Inc.</b>	FUEL NY, GSP00240 - Tayco Enterprises I	13,000
<b>Taylan V Altop</b>	FUEL NY, GSP00243 - 641 Wellwood Ave, L	13,000

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Temperature Control Specialties Co., Inc	EXISTING FACILITIES, EFP0068 - HSBC Banks	178,540
Temple Hill II, LP	NEW YORK ENERGY STAR HOMES, Codes & New Construction	216,000
Tern Construction & Development, LLC	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	202,500
TF Cubed Inc.	FUEL NY, GSP00615 - TF Cubed Inc.	10,000
The Association for Rehabilitative Case	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	79,408
The Bridge Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	99,005
The Butterfield House, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	72,100
The Garrick Co., LLC	WEST VALLEY DEVELOPMENT PROGRAM, Probabilistic Evaluation	455,068
The Gunlocke Company	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	222,571
The Macerich Company	NEW CONSTRUCTION PROGRAM, NCP11553 - FONF	68,179
The Mathworks, Inc.	ENERGY ANALYSIS, Software License	8,600
THE MORGAN GROUP	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	171,140
	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	7,350
The Newport East, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	258,300
The Radiant Store	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Marc	9,725
	RENEWABLE THERMAL, NY-Sun	20,712
	RENEWABLE THERMAL, Renewable Heating & Cooling	6,000
	RENEWABLE THERMAL, RES-NewConst(no longer in use)	14,270
	RENEWABLE THERMAL, Solar Thermal Incentive	22,959
	Solar Thermal, Solar Thermal Incentives	17,262
The Research Foundation for the State	CLEAN TRANSPORTATION, Real-time subway information	75,000
The Research Foundation of SUNY (UB)	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	369,192
The Trustees of Columbia University	NEW CONSTRUCTION PROGRAM, NCP10499 - New Core Lab	110,724
Theodore Theodoropoulos	<200KW PV, NY-Sun	8,208
Third Power LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	199,578
Third Residential Ecovillage Experience	NEW YORK ENERGY STAR HOMES, Codes & New Construction	42,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	80,500
Thomas P. Lambert	NEW YORK ENERGY STAR HOMES, Codes & New Construction	9,000
Thomas Roach	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	102,229
Thomson Reuters (Markets), LLC	ENERGY ANALYSIS, Point Carbon Service/Eikon	8,160
TM Montante Solar Developments, LLC	<200KW PV, NY-Sun	66,016
	<200KW PV, NYSERDA Administration	307,052
	<200KW PV, RES-NewConst(no longer in use)	462,880
	>200KW PV, Commercial/Industrial	119,629
Tower 570 Company	FLEXIBLE TECHNICAL ASSISTANCE, FT10499-570 Lexington Aven..	19,875
Town of Cortlandt	CLEANER GREENER COMMUNITIES, CGC27674 - Town of Cortlandt	175,000
Town of East Hampton	SMART GRID SYSTEMS, Town of E. Hampton NY Prize	100,000
Town of Elizabethtown	COMMUNITY SOLAR, Solarize 2017	5,000
Town of North Hempstead	CLEANER GREENER COMMUNITIES, CGC29510 - North Hempstead	1,000,000
	SMART GRID SYSTEMS, Town of North Hempstead	100,000
Town of Williamson	COMMUNITY SOLAR, Solarize 2016	5,000
Trane	EXISTING FACILITIES, EFP2598 - Trane; Keuka College	79,396
Transit Wireless	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	268,500
TRC Companies, Inc.	EXISTING FACILITIES, Existing Facilities Tech Assis	6,239
	EXISTING FACILITIES, Existing Facilities Tech Assit	3,527
TRC Energy Services	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>TRC Energy Services</b>	EXISTING FACILITIES, Technical Review and Program S	25,323
	GJGNY REVOLVING LOAN FUND, TRC - Small Commercial Energy	1,231,836
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	74,427
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	9,358
<b>Tri-Municipal Sewer Commission</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	43,653
<b>Triad Technology Partners LLC</b>	NYSERDA ADMINISTRATION, Tableau Desktop 2016 - 2017	5,937
<b>Triangle Electrical Systems, Inc.</b>	<200KW PV, NY-Sun	7,920
<b>Triborough Preservation LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	572,200
	MULTIFAMILY PERFORMANCE PROGRAM, NYSERDA Administrati..	180,300
<b>Trinity Heating &amp; Air, Inc.</b>	<200KW PV, NY Sun	23,664
	<200KW PV, NY-Sun	105,443
	<200KW PV, NYSERDA Administration	7,844
	<200KW PV, RES-NewConst(no longer in use)	8,500
<b>Trinity Real Estate</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program	34,750
<b>Troy Boiler Works, Inc.</b>	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	19,097
<b>Troy Web Consulting, LLC</b>	ENERGY ANALYSIS, SEP Comment Website	83,463
	EVALUATION, SEP Comment Website	35,038
<b>True Energy Solutions</b>	HOME PERFORMANCE WITH ENERGY STAR, Meadow Brook North..	99,650
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Reside..	134,814
<b>TST 405 Lexington JV, LLC</b>	EXISTING FACILITIES, Existing Facilities Program -	115,559
<b>TurnKey Internet, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industry Process Efficiency	402,021
<b>U.S. Department of the Interior</b>	Off-Shore Wind Master Plan, BOEM Bid Deposit	450,000
<b>U.S. Salt LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industry Process Efficiency	934,500
<b>Union College</b>	NEW CONSTRUCTION PROGRAM, NCP11519 - Humanities Building	21,752
<b>Union College Dance Studio</b>	NEW CONSTRUCTION PROGRAM, NCP11519 - Humanities Building	21,752
<b>Union Free School Associates, LP</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	27,000
<b>Unique Technical Services, LLC</b>	CLEAN TRANSPORTATION, Ultracapacitor Based Energy St	249,980
	CLEAN TRANSPORTATION, Unique Technical Services LLC	49,362
<b>United Renewable Energy</b>	<200KW PV, NY Sun	65,000
	<200KW PV, NY-Sun	115,000
<b>United Talmudical Academy of Kiryas Joel</b>	NEW CONSTRUCTION PROGRAM, NCP12359 - Uta of Kiryas Joel	68,770
<b>United Wind Project I, LLC</b>	SMALL WIND, Wind Turbine Incentive	478,882
<b>United Wind, Inc.</b>	SMALL WIND, Wind Turbine Incentive	247,191
<b>University at Albany Foundatio</b>	OTHER PROGRAM AREA, 2018 NY Business Plan Sponsor	25,000
<b>University of Rochester</b>	EXISTING FACILITIES, EFP1977 - U of Rochester	1,008,997
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	543,062
<b>University of Southern California</b>	ENERGY ANALYSIS, Microgrid Macro Model Approach	49,878
<b>Upstate Alternative Energy</b>	<200KW PV, NY Sun	15,776
	<200KW PV, NY-Sun	14,953
	<200KW PV, NYSERDA Administration	8,379
<b>Upstate Venture Connect</b>	Prof & Expert Engagement, UVC Sponsorship	25,000
<b>Urban Electric Power, LLC</b>	CLEAN TRANSPORTATION, Advanced Battery Management	249,847
<b>US Green Building Council, New York Cha</b>	WORKFORCE DEVELOPMENT, WF Training Energy Efficiency	448,156
<b>US Light Energy LLC</b>	<200KW PV, NYSERDA Administration	1,089,600
	<200KW PV, RES-NewConst(no longer in use)	785,100
<b>Van Buren Farms</b>	AGRICULTURE ENERGY EFFICIENCY, Argiculture Energy Efficiency	9,780

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Vanderstyn Motor Sales Inc	NEW CONSTRUCTION PROGRAM, NCP13068-Vanderstyn Toyota ..	22,061
Veeder Hospitality Management, LLC	NYSERDA ADMINISTRATION, NYSERDA Administration	10,000
Venture Farms LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	51,471
Venture Home Solar LLC	<200KW PV, NY-Sun	34,288
Verari Financial Services, LLC	FUEL CELLS, RPS CST Fuel Cell at RIT	800,000
Verizon Business	NYSERDA ADMINISTRATION, Information Security Risk Asse	181,827
Verizon Corporate Services Group	EXISTING FACILITIES, EFP2122-Verizon - Verizon BMS	72,443
Vertical Industrial Park Associates	ADVANCED BUILDINGS, EFP2636 - Vertical Industrial	42,704
	EXISTING FACILITIES, EFP2636 - Vertical Industrial	33,514
Veterans Solar Systems	<200KW PV, NY-Sun	5,016
Vidaris, Inc.	ADVANCED ENERGY CODES, Technical Assistant Services..	102,819
	NEW CONSTRUCTION PROGRAM, High Perf New Bldg(not in use)	77,680
	NEW CONSTRUCTION PROGRAM, NYSERDA Administration	8,133
	NEW CONSTRUCTION PROGRAM, Technical Assistant Services..	1,571,768
VII 444 Madison Lessee	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech - PON1746	11,375
Village of Irvington	SMART GRID SYSTEMS, Village of Irvington NY Prize	79,488
Village of Westfield	SMART GRID SYSTEMS, NY Prize Village of Westfield	96,933
Vincents Heating and Fuel Service, LLC	OTHER PROGRAM AREA, Energy & EnvironmentalAnalysis	11,436
	RENEWABLE HEAT NY, Renewable Heating & Cooling	10,000
Viola Homes Inc.	<200KW PV, NY Sun	5,520
	<200KW PV, NY-Sun	191,339
	<200KW PV, NYSERDA Administration	6,678
	<200KW PV, RES-NewConst(no longer in use)	13,770
Viridian Energy & Environmental, LLC	NEW CONSTRUCTION PROGRAM, NCP TA Contract - ST10127	107,803
Vistex Composites, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, adv thermo..	249,943
Vivint Solar	<200KW PV, NY-Sun	21,312
Vnomics Corp	CLEAN TRANSPORTATION, Driver Coaching System	310,172
Voltaic Solaire LLC	<200KW PV, NY-Sun	25,336
W.L. Kline, Inc.	NEW YORK ENERGY STAR HOMES, NYSERDA Administration	93,500
Wayne Finger Lakes BOCES	NEW CONSTRUCTION PROGRAM, NCP11688 - WFL BOCES 2013 ..	39,119
Waypoint Realty, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	77,568
WB Heritage Pointe Associates, LLC	Multifam Performance Pgm, NYSERDA Administration	18,450
We-B-Chicken	NEW CONSTRUCTION PROGRAM, NCP13046 - Popeyes - OFLT	6,905
Wedgewood West Property Company	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	182,850
Weeels Inc.	CLEAN TRANSPORTATION, High Occupancy Taxi Rides	180,772
	CLEAN TRANSPORTATION, Traffic Data Warehouse	75,000
Wegmans Food Markets, Inc.	NEW CONSTRUCTION PROGRAM, NCP11674 - Johnson City Wine	5,005
West Group Payment Center	NYSERDA ADMINISTRATION, Counsel's Office	21,403
Western NY & PA Railroad	CLEAN TRANSPORTATION, Western NY & PA RR: locomotive	100,000
White Knight Productions	OTHER PROGRAM AREA, 76West photography/videography	26,940
White Plains Hospital Center	NEW CONSTRUCTION PROGRAM, NCP12995 - White Plains Hospit	5,880
Whitney Museum	NEW CONSTRUCTION PROGRAM, NCP10018 - Whitney Museum (..	166,332
Whole Foods Market Group, Inc.	COMBINED HEAT AND POWER, Distributed Generation as CHP	709,035
	NEW CONSTRUCTION PROGRAM, NCP98783 - Whole Foods Market	139,669
Wildcat Solar, LLC	<200KW PV, RES-NewConst(no longer in use)	7,889
Willdan Energy Solutions	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	9,000

**Contracts Completed**  
**Period 10/1/2016 through 3/31/2017**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Willdan Energy Solutions</b>	EXISTING FACILITIES, Technical Review and Program S	86,270
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	9,139
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	452,767
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	80,917
<b>Williams Honda</b>	NEW CONSTRUCTION PROGRAM, NCP12748 - Williams Honda Sh..	26,264
<b>Wiltshire Renewable Energy Systems, LLC</b>	<200KW PV, NY-Sun	7,208
<b>Windex Farm</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	9,779
<b>Windsor Terrace HDFC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	44,000
<b>Winnomotive Properties, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	28,333
<b>Winsor Acres</b>	AGRICULTURE ENERGY EFFICIENCY, AEEP - Pre Enc	31,775
<b>WM Group Services, LLC</b>	COMBINED HEAT AND POWER, FlexTech Consultant Selection	38,660
<b>Woods Hill Farm LLC</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	15,616
<b>WSP USA Corp.</b>	NEW CONSTRUCTION PROGRAM, Technical Assistance NCP	74,454
<b>Xand Corporation</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	207,321
<b>Xerox Corp</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial & Agriculture	91,711
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	64,429
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Roll2Roll M..	63,933
<b>Xylem Water Systems USA, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	37,026
<b>Xzerta Energy Group LLC</b>	>200KW PV, Commercial/Industrial	1,281,677
	>200KW PV, Commercial/Industrial PV	5,126,708
	>200KW PV, Commercial/IndustrialPV	1,281,677
	>200KW PV, NY-Sun	4,913,095
	>200KW PV, NY-Sun C&I	1,281,677
<b>Yale Robbins Publications, LLC</b>	COMBINED HEAT AND POWER, 2017 Co-op, Condo & Art Expo	15,000
<b>You Save Green Incorporated</b>	<200KW PV, NY Sun	6,466
	<200KW PV, NY-Sun	5,796
	<200KW PV, NYSERDA Administration	15,747
	<200KW PV, RES-NewConst(no longer in use)	22,560
<b>Grand Total</b>		286,663,629