



NYSERDA

ANDREW M. CUOMO
Governor

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

December 1, 2018

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

Dear Governor Cuomo,

Pursuant to the Public Authority Law Section 1867(7), as amended in 2015, attached is NYSERDA's semi-annual report regarding specified contracting actions for the period from April 1, 2018 through September 30, 2018.

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.nyserdan.gov/-/media/Files/Publications/Annual-Reports-and-Financial-Statements/2018-december-nyserdan-semi-annual-report.pdf>

If you have any questions on this information, please contact me.

Sincerely,

Alicia Barton
President and CEO

New York State Energy Research and Development Authority

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

Buffalo
726 Exchange Street
Suite 821
Buffalo, NY
14210-1484
(P) 716-842-1522
(F) 716-842-0156

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

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

NYSERDA

Revenues Collected - April 1, 2018 through September 30, 2018

Revenue Source	Amount (\$000's)
State Appropriation	10,634
Utility Surcharge Assessments	309,323
Clean Energy Standard Proceeds	238,751
Allowance Proceeds	45,357
Third-party reimbursements	24,081
Federal grants	10,528
Interest subsidy	223
Project repayments	339
Rentals from leases	446
Fees and other income	1,492
Loans and financing receivables interest	11,992
Investment income	5,626
Total revenues	658,792

NYSERDA

Public Authority Law Report

April 1, 2018 to September 30, 2018

Section Break

Solicitation Summary April 1, 2018 to September 30, 2018

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Dollar Value
PON 3770	Electric Power Transmission and Distribution (EPTD)	The Electric Power Transmission and Distribution High Performing Grid Program, funded through the Clean Energy Fund and authorized by the Public Service Commission, will make investments in research and development that accelerate the realization of an advanced, digitally enhanced and dynamically managed electric grid.	4/11/2018	12/18/2018	\$15,000,000.00
PON 3411 - Revised	Industrial Strategic Energy Management	NYSERDA is seeking applications from industrial facilities that are interested in participating in a fully-funded, year-long Strategic Energy Management 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.	4/11/2018	6/8/2018	No value was stated in the solicitation
PON 3844	Strategic Energy Management Pilot: Municipal Water Resource Recovery Facilities	NYSERDA is seeking applications from municipal water resource recovery facilities (WRRFs) that are interested in participating in a fully-funded, year-long Strategic Energy Management pilot. By participating in the pilot, WRRF management and staff will gain access to training, coaching, and peer-to-peer knowledge sharing to continuously enhance energy efficiency at their WRRF.	4/20/2018	5/24/2018	No value was stated in the solicitation
PON 3694 - Revised	Cooperative Advertising and Training for Clean Heating and Cooling	NYSERDA's Cooperative Advertising and Training Program for Clean Heating and Cooling Partners offers incentives up to 50 percent of the total cost for educational and marketing promotion opportunities to eligible HVAC participants, such as HVAC manufacturers, HVAC distributors/vendors and HVAC installers participating in PON 3653: Air-Source Heat Pump Program, PON 3620: Ground-Source Heat Pump Rebate or Renewable Heat NY.	4/24/2018	12/31/2020	\$1,500,000.00
RFP 18-1	Renewable Energy Standard Purchase of Renewable Energy Credits	NYSERDA seeks to procure Tier 1 eligible Renewable Energy Certificates under the Renewable Energy Standard (RES), a component of the Clean Energy Standard (CES).	4/25/2018	8/16/2018	\$1,500,000.00
RFP 3579	Greening the Bronx: Urban Heat Island Mitigation Project 2018	NYSERDA seeks proposals from landscape architects/planners, arborists, community groups/workforce development organizations, environmental and sustainability-focused groups and institutions, and tree planting contractors (Proposers), to plant and provide two-year guaranty and stewardship for trees planted under an urban forestry program in the Bronx.	4/26/2018	6/7/2018	\$1,082,758.00
RFP 3837	Title Company Services to Support On-Bill Recovery Financing	To support its On-Bill Recovery (OBR) loan program, NYSERDA is seeking one or more title companies to provide either Last Owner's searches or Last Deed of Record searches and filing services on a statewide basis.	4/5/2018	5/3/2018	No value was stated in the solicitation

RFP 3855	Metoccean Measurements in Support of Offshore Wind Energy	NYSERDA seeks proposals from independent Floating LiDAR System Suppliers and Data Management and Analysis Contractors to support the collection of wind speed and direction data within anticipated rotor swept zones, wave and current measurements, as well as other environmental data.	5/1/2018	5/31/2018	\$5,000,000.00
RFQL 3711 - Revised	Design and Support for Innovative Energy Efficiency and Clean Energy Market Development Programs	NYSERDA is issuing this solicitation to establish a pool of qualified firms, companies, or organizations (including teaming arrangements) to provide program design, analysis, and support for innovative initiatives across the Authority	5/2/2018	5/22/2018	No value was stated in the solicitation
PON 3841	Clean Energy Fund Stationary Fuel Cell Program	This solicitation provides financial assistance to reduce the upfront costs to install and operate fuel cells, reduce energy expenses and greenhouse gas emissions, relieve strain on the electric grid, and in certain cases, provide emergency power to the host site and supports the installation of large fuel cell modules with a nameplate rating greater than 25 kW.	5/3/2018	12/31/2019	\$15,000,000.00
PON 3308 - Revised	Commercial Tenant Program	This Program is open to all commercial office tenants at any stage of leasing and those who wish to improve the office space they currently occupy. The program encourages tenants, landlords and their consultants to work collaboratively to enhance the overall energy and environmental performance of commercial office buildings in New York State. The program provides funding to reduce the costs for tenants and landlords to obtain an actionable list of energy efficiency measures.	5/3/2018	7/31/2018	\$5,750,000.00
RFP 3757	Commercial and Industrial Carbon Challenge	NYSERDA will award up to \$10 million, ranging from \$2-5 million, to large commercial and industrial entities with the leading solutions for implementing cost-effective energy actions that reduce carbon emissions.	5/9/2018	7/10/2018	\$10,000,000.00
RFP 3859	Innovation Advisory Services Program	The Innovation Advisory Services Program seeks business and technology experts with extensive corporate and technical experience to help NYSERDA's Technology and Business Innovation (TBI) department achieve its mission and goals through the development of impactful program strategies, implementation of processes to improve organizational effectiveness, advisement of staff and portfolio companies, and application of private industry best practices to TBI's operations.	5/9/2018	6/28/2018	\$750,000.00
PON 3249 - Revised	Advanced Clean Energy (ACE) Exploratory Research	The ACE Program supports applied research in areas that are not supported by other NYSERDA research programs and funding opportunities. ACE is an ongoing funding opportunity that supports inspired, innovative, and disruptive thinking about technologies and business models that will transform New York State's energy landscape. The aim of ACE is to provide NYSERDA with useful information to develop focused technology or proof-of-concept research not currently supported by or eligible for NYSERDA funding.	5/10/2018	11/30/2018	\$3,000,000.00

PON 3875	Cleantech Accelerator	NYSERDA seeks proposals to provide early-stage investments and services to enable the development and validation of promising clean energy technologies that are, or will become, the platform for start-up companies located in New York State. The Cleantech Accelerator that results from this program will serve as a statewide Proof-of-Concept Center for New York State.	5/15/2018	7/26/2018	\$10,000,000.00
RFP 3802	Solar for All Facilities	NYSERDA requests proposals for Solar For All Facilities to serve residential customers participating in Solar For All with small, no-cost community solar subscriptions. A Solar For All Facility may comprise all or part of a solar photovoltaic project interconnected under New York's Community Distributed Generation policy	5/22/2018	8/2/2018	\$19,800,000.00
PON 3715 - Revised	Workforce Training: Building Operations and Maintenance	NYSERDA's Building Operations and Maintenance Workforce Development and Training Program seeks to reduce energy use, associated carbon emissions, and building operations costs by enhancing the skills of operations and maintenance staff and managers across the State. The Program provides employers and building owners with support to implement 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.	5/30/2018	10/4/2018	\$5,800,000.00
PON 3871	Ignition Grants	The Ignition Grants program will consider proposals from companies that have been admitted to and are current active clients of NYSEDA-sponsored clean energy incubators. The awards under this program are intended to provide seed capital to help such clients achieve technical or commercialization objectives which will help achieve near-term outcomes, such as raising investment capital, securing corporate/strategic partnerships, and engaging potential customers/partners.	6/1/2018	9/30/2019	\$3,000,000.00
PON 3846	Agriculture Energy Audit Program	The Agriculture Energy Audit Program offers free energy audits to identify energy efficiency measures for eligible farms, including but not limited to, dairies, orchards, greenhouses, vegetables, vineyards, grain, and poultry or egg producers.	6/7/2018	12/31/2025	\$3,500,000.00
RFP 3916	Residential building Stock Assessment	(NYSEDA) requests proposals from organizations or individuals qualified to conduct a residential building stock study as well as an energy efficiency potential study. This study is the first longitudinal update of the 2015 Residential Statewide Baseline Study of New York State.	6/13/2018	7/16/2018	\$2,000,000.00
PON 3770 - Revised	Electric Power Transmission and Distribution (EPTD)	The Electric Power Transmission and Distribution High Performing Grid Program, funded through the Clean Energy Fund and authorized by the Public Service Commission, will make investments in research and development that accelerate the realization of an advanced, digitally enhanced and dynamically managed electric grid.	6/13/2018	8/22/2018	\$15,000,000.00

RFP 3788	P-12 Schools Program: Benchmarking Software Tool	NYSERDA is seeking vendors who offer a benchmarking software package as a method for the P-12 sector to measure, track, assess, and share their utility, greenhouse gas (GHG), and cost performance metrics across schools in New York State (NYS).	6/13/2018	7/17/2018	No value was stated in the solicitation
PON 3082 - Revised	NY-Sun Commercial/Industrial Incentive Program	NYSERDA provides performance-based incentives for the installation by Contractors of new grid-connected electric photovoltaic (PV) systems that are ranging from 750kW to 7.5MW in Upstate region.	6/19/2018	12/29/2023	No value was stated in the solicitation
PON 2112 - Revised	NY-Sun Residential/Nonresidential Incentive Program	NYSERDA provides cash incentives and/or financing for the installation by Contractors and Builders of new grid-connected electric photovoltaic (PV) systems for residential sites in any region that are 25kW or less, for nonresidential sites in Upstate and PSEG Long Island regions that are up to 750kW, and for nonresidential sites in Con Ed region that are up to 7.5MW.	6/19/2018	12/29/2023	No value was stated in the solicitation
RFI 4	Financing Arrangements for Energy Storage Projects in New York State	NYSERDA is issuing this solicitation to targets energy storage market participants to increase dialogue regarding specific ways in which NY Green Bank can be helpful in financing energy storage projects in NYS by addressing existing market barriers and financing gaps that could impede project development.	6/21/2018	12/31/2018	No value was stated in the solicitation
RFQL 3902	Charge Ready NY Equipment and Network Qualification Process	NYSERDA is issuing this RFQL solicitation to establish a list of qualified Level 2 electric vehicle (EV) charging equipment and networks that will be eligible for incentives under the upcoming Charge Ready NY Program (Program). Under the Program, interested site owners will be able to receive incentives for the installation of qualified charging equipment.	6/21/2018	12/31/2021	No value was stated in the solicitation
RFP 3919	Sitecore CMS Administratin and Web Development	NYSERDA owns and operates an instance of Sitecore CMS to manage its public facing websites (nyserda.ny.gov, greenbank.ny.gov, and energyplan.ny.gov). NYSERDA requires consulting services for developing and maintaining websites within the Sitecore CMS 3-tiered, 3-layer development environment.	6/27/2018	8/30/2018	No value was stated in the solicitation
PON 3787	Energy Study Aggregation Program	NYSERDA is soliciting applications from FlexTech Consultants with valid FlexTech agreements to demonstrate new, innovative, and streamlined approaches for delivering objective energy efficiency studies to commercial facilities.	6/29/2018	12/31/2022	No value was stated in the solicitation
PON 3438 - Revised	Rev Campus Challenge Technical Assistance for Roadmaps	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").	7/5/2018	12/31/2019	No value was stated in the solicitation

PON 3914	Public Transit Technology and Innovation Program	The Public Transit Technology and Innovation Program seeks proposals to develop and demonstrate innovative public transportation technologies and strategies. These technologies and strategies must have the potential to reduce greenhouse gas emissions (GHG) and associated energy consumption of the existing transit bus, rail, and connected intermodal transit systems in New York State.	7/6/2018	11/8/2018 - Round 1	\$5,000,000.00
RFP 3802 - Revised	Solar for All Facilities	NYSERDA requests proposals for Solar For All Facilities to serve residential customers participating in Solar For All with small, no-cost community solar subscriptions. A Solar For All Facility may comprise all or part of a solar photovoltaic project interconnected under New York's Community Distributed Generation policy.	7/10/2018	7/24/2018	\$19,800,000.00
RFQL 3926	Large Scale Renewables Independent Evaluator Request for Qualifications	Independent Evaluators for NYSERDA's Large Scale Renewables Procurements - RFQL 3926 establishes a pool of contractors who possess proficiency and technical expertise in the evaluation of large-scale renewable energy generation projects. The pool of Independent Evaluators established through this solicitation will assist NYSERDA with distinct, time-sensitive evaluations for NYSERDA's large-scale renewable energy solicitations, such as those for Tier 1 Renewable Energy Credits (RECs).	7/16/2018	9/11/2018	No value was stated in the solicitation
RFQL 3902 - Revised	Charge Ready NY Equipment and Network Qualification Process	Establishes a list of qualified Level 2 electric vehicle (EV) charging equipment and networks that will be eligible for incentives under the upcoming Charge Ready NY Program (Program). Under the Program, interested site owners will be able to receive incentives for the installation of qualified charging equipment.	7/20/2018	12/31/2021	No value was stated in the solicitation
PON 3921	Energy-Related Air Quality and Health Effects Research	This PON supports research to improve the scientific and technical foundation for addressing key policy-relevant questions related to air quality and health effects research. Targeted research categories include, but are not limited to, atmospheric species, trends analysis, improved energy-sector modeling for energy and environmental policy evaluation, accountability studies and health impact assessments, and monetization of air quality and public health benefits.	7/31/2018	10/10/2018	\$2,500,000.00
PON 3010 - Revised	Renewable Heat NY	NYSERDA requests applications from eligible contractors to participate in a financial incentive program to install approved high-efficiency, low-emission biomass heating systems for eligible residential and commercial customers.	8/3/2018	12/31/2018	\$9,750,000.00
RFP 3945	US Department of Energy Home Energy Score Implementer	NYSERDA is seeking proposals for implementation of the US Department of Energy's Home Energy Score to support several pilot initiatives to encourage the adoption of energy efficiency in existing one-to-four family residential buildings in New York State.	8/10/2018	9/26/2018	No value was stated in the solicitation

PON 3578 - Revised	Plung-In Electric Vehicle (PEV) Enabling Technology Development Demonstration Program	NYSDERDA wants to drive the expansion of the plug-in electric vehicle market and accelerates PEV adoption through innovation and demonstrations. Proposals requested for technology or business strategy research and development, innovative policies or strategic approaches to develop and demonstrate new strategies to help overcome barriers to the market adoption of PEVs	8/16/2018	9/18/2018 - Round 2	\$3,500,000.00
RFP 3901	P4P Advanced Measurement and Verification Platform	NYSDERDA is seeking proposals to design, build, and administer an Advanced Measurement and Verification (AMV) Solution to support the successful implementation of outcome-based approaches to energy efficiency in New York State (NYS), with a primary focus on calculating and clearly communicating weather-normalized metered energy consumption (NMEC) energy savings for a Pay for Performance (P4P) initiative.	8/17/2018	9/17/2018	No value was stated in the solicitation
PON 3914 - Revised	Public Transit Technology and Innovation Program	The Public Transit Technology and Innovation Program seeks proposals to develop and demonstrate innovative public transportation technologies and strategies. These technologies and strategies must have the potential to reduce greenhouse gas emissions (GHG) and associated energy consumption of the existing transit bus, rail, and connected intermodal transit systems in New York State.	8/16/2018	11/8/2018 - Round 1	\$5,000,000.00
PON 3922	Clean Heating and Cooling Communities	This program is aimed at getting groups of homes and businesses in New York State to install clean heating and cooling (CH&C) technologies, including ground-source and air-source heat pumps, solar heating and cooling, and biomass. These technologies can help lower energy bills and reduce emissions of harmful greenhouse gases, while making homes and businesses more comfortable.	8/23/2018	10/30/2018	\$2,000,000.00
PON 2456 - Revised	Industrial and Process Efficiency Program	The Industrial and Process Efficiency Program Opportunity Notice (PON) 2456 offers performance-based incentives to manufacturers and data centers that implement cost-effective electric and fossil fuel efficiency and process improvements. This PON offers Process and Energy Efficiency incentives, as well as Operations and Maintenance Incentives.	7/17/2018	12/31/2019	\$57,429,807.00
PON 3921 - Revised	Energy-Related Air Quality and Health Effects Research	This PON supports research to improve the scientific and technical foundation for addressing key policy-relevant questions related to air quality and health effects research. The major goals of NYSDERDA's Environmental Research Program are to increase understanding and awareness of the environmental impacts of current and emerging energy options, provide a scientific and technical foundation for formulating effective, equitable, energy related environmental policies and resource management practices, and build scientific capabilities within NYS.	7/31/2018	10/10/2018	\$2,500,000.00

PON 3923	Charge Ready NY	Charge Ready NY (PON 3923) provides \$4,000 per installed electric vehicle (EV) charging port to applicants who purchase and install qualified Level 2 EV charging equipment at New York State locations. These locations must provide public charging, workplace charging, or charging at a multi-unit dwelling (MUD). Public and private (for-profit and not-for-profit) entities may participate in the Program.	9/19/2018	12/31/2021	\$5,000,000.00
PON 3932	Novel Business Models and Offerings	This solicitation promotes novel business models, commercial service or product offerings, and tools that enable scaling of the deployment of clean energy technologies. PON 3932 solicits proposals for activities that: (1) enable the proposing company to rapidly scale a novel business model that has demonstrated customer acceptance in any clean energy sector, or (2) validate a novel business model or tool in the area of existing one-to-four-family residential energy efficiency.	9/25/2018	11/26/2018	\$8,000,000.00
PON 2456 - Revised	Industrial and Process Efficiency Program	The Industrial and Process Efficiency Program offers performance-based incentives to manufacturers and data centers that implement cost-effective electric and fossil fuel efficiency and process improvements. This PON offers Process and Energy Efficiency incentives, as well as Operations and Maintenance Incentives.	9/25/2018	12/31/2019	\$57,429,807.00
PON 2568 - Revised	CHP Program	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.	9/27/2018	12/31/2018	\$82,000,000.00
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NYSERDA

Public Authority Law Report

April 1, 2018 to September 30, 2018

Section Break

**Electric Power Transmission and Distribution (EPTD)
High Performing Grid Program
Program Opportunity Notice (PON) 3770
Up to \$15 Million Available**
All, some, or none, of the available funds may be awarded

Rolling submissions are being accepted until July 18th, 2018 5:00 PM Eastern Time for Concept Papers and up until August 22nd, 2018 5:00 PM Eastern Time for Full Proposals, or until all funds are committed. *

The New York State Energy Research and Development Authority (NYSERDA) announces the availability of up to \$15 million in funds to support technology feasibility, research and engineering studies, product development and demonstration projects that improves the resiliency, reliability, efficiency, quality, and overall performance of the electric power delivery system in New York State. Submissions must demonstrate significant statewide public benefits 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 electric grid performance, and enables customers to reduce their energy costs, energy consumption, and environmental impacts. Additional objectives include the development of smart grid technologies and their commercialization by New York State companies.

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

**Advanced Monitoring / Measurement / Controls
Distributed Energy Resources Integration/ Interconnections
Advanced Materials / Cabling / Conductors
Advanced Planning / Operations / Design / Forecasting Tools
Innovative Cybersecurity / Data Analytics**

**Transmission and Distribution Automation / Management
Advanced Power Electronics / Smart Inverters
Advanced System Modeling / Applications / Algorithms
Advanced Sensors / Devices / Systems
Advanced / Adaptive Protection Systems / Controls**

NYSERDA is accepting Concept Papers and Full Proposals in the following categories:

Category	Maximum NYSERDA Funding Per Award	Total Project Cost Share
Category A: Technology Feasibility Studies	\$100,000	25%
Category B: Product Development	No limit	50%
Category C: Research Studies	\$ 400,000	25%
Category D: Engineering Studies	\$ 400,000	25%
Category E: Demonstration Projects	No limit	50%

Concept Paper and Full Proposal Submission: Electronic submission is preferable. NYSERDA will also accept Concept Papers and Full Proposals submissions by mail or hand-delivery up until 5 pm Eastern Time by July 18, 2018 (Concept Papers) and by August 22, 2018 (Full Proposals). If submitting electronically, proposers must submit in either PDF or MS Word format. PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Concept Papers and Full Proposals may be submitted electronically by following the link for electronic submissions found on this PON's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

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

**Jillina Baxter, PON 3770
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 Michael Razanousky (Designated Contact), (518) 862-1090 ext: 3245 or by e-mail michael.razanousky@nyserda.ny.gov, or Christopher Cheng (Designated Contact) (518) 862-1090

ext:3436 or by e-mail christopher.cheng@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci, (518) 862-1090 ext: 3335 or by email 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 Concept Papers or Full Proposals will not be accepted. Incomplete Concept Papers or Full Proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the submission. Faxed or e-mailed submissions will not be accepted. Submissions 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>. NYSERDA reserves the rights to extend and/or adjust funding to this solicitation.

NOTE: This solicitation has a multi-step application process. The first step is to submit a Concept Paper explaining what would be proposed per the instructions in Attachment G. Concept Papers may propose to any category in the solicitation and must meet the funding amounts and cost share requirements for the proposed category. The Concept Papers will be reviewed by a Scoring Committee and approved papers will be invited for a Full Proposal submission. Full Proposals will not be reviewed and are ineligible without having successfully received approval at the Concept Paper stage.

I. INTRODUCTION

The future transmission and distribution system will be dramatically different from that which is in place today. For example, much of the system currently uses older planning tools and algorithms that do not utilize real time data and computational capacities of advanced technologies. Furthermore, today's electrical grid is relatively passive and continues to rely on electro-mechanical devices that do not dynamically communicate and are only capable of managing one-way flow of power. Systematic improvements to grid investments and operations are possible at all levels of the grid and are an essential element of the transformation of the grid and enable market development envisioned by NY's Reforming the Energy Vision (REV) initiative.

This solicitation seeks to make investments that accelerate the realization of an advanced, digitally enhanced and dynamically managed "high-performing" electric grid for New York State. The focus of this solicitation will be to:

- Build the capacity to integrate and expand the use of clean distributed energy resources.
- Pursue efficient asset utilization and reduce system losses.
- Facilitate greater transfer of clean energy from generation to load centers.
- Improve grid reliability and resiliency.
- Accommodate increased customer engagement in energy markets.
- Support the innovation of smart grid technologies in New York State.

This Electric Power Transmission and Distribution High Performing Grid Program solicitation is issued for specific technology areas that advance the goals discussed above. These technology areas include, but are not limited to:

- (1) Advanced monitoring, measurement and control systems and subsystems.
- (2) Transmission and distribution automation and management systems and subsystems.
- (3) Distributed energy resources integration and interconnection systems and subsystems.
- (4) Advanced power electronics and smart inverter systems.
- (5) Advanced materials, conductor and cabling technologies to improve resiliency, reliability, congestion and reduce losses.

- (6) Advanced systems modeling, applications and algorithms, such as data processing, visualization, diagnostics and analytic technologies.
- (7) Advanced planning, operations, design and forecasting tools.
- (8) Advanced sensors, devices, control systems and other equipment innovations that improve transmission and distribution system performance and reliability.
- (9) Innovative cybersecurity solutions and data analytics.
- (10) Advanced and adaptive protective systems and controls.

Activities include product development and demonstration projects. Studies into ways of improving 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 energy resources will also be supported.

Projects that promote high performing smart grid technologies, components and/or systems both within (Consolidated Edison, Orange and Rockland, New York State Electric and Gas, Rochester Gas and Electric, Central Hudson Gas and Electric, and National Grid) and outside (New York State's Power Authorities, municipal electric companies, cooperative electric organizations, out of state utilities) of the New York regulated electric service territories 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 benefits to New York State.**

Concept Papers and Full Proposals will be evaluated in five distinct project categories listed below in Section II and scored on the evaluation criteria listed in Section VI of this solicitation. All of the submissions will be reviewed by a scoring committee comprising of both internal NYSEDA staff and outside experts. All Concept Papers and Full Proposals will be evaluated according to the quality and level of detail provided within page limits. Full Proposals must include substantive documentation addressing all scoring criteria items. NYSEDA at its discretion may ask for an in-person presentation of a Full Proposal before making a funding decision.

II. PROJECT CATEGORIES

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

Category A: Technology Feasibility Studies (NYSEDA's share of funding for any project of this type will be limited to a maximum of \$100,000. Proposer total project cost share at or above 25%.)

- Projects under this category include studies aimed at determining and demonstrating the feasibility of new smart grid technologies and products. Projects that successfully demonstrate feasibility may provide the basis for a project proposal under Category B: New Product Development projects to further the advancement of the new product or technology.

Category B: New Product Development (No NYSEDA limit for funding request. Proposer total project cost share at or above 50%.)

- Projects under this category include the development and commercialization of technologies and 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 B projects. Product Development projects may lead to a project proposal under Category E: Demonstration Projects to prove out the potential product or technology at a New York State site. **Note: New Product Development projects are subject to NYSERDA's recoupment terms described in Section VII**

Category C: 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%.)

- Projects under this category include studies aimed at ways of improving the resiliency, reliability, quality and efficiency of the electric power delivery system. Studies may explore effects and feasibility of new technology deployment, public policies, business models, planning methods, cost recovery models or other areas of analysis.

Category D: 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%.)

- Projects under this category include 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 E: 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 E: Demonstration Projects (No NYSERDA limit for funding request. Proposer total project cost share at or above 50%).

- Projects under this category include demonstrations of new or under-utilized products and/or technologies that are past the technology readiness level (TRL) 6 or higher. This means that products and/or technologies have been tested in a relevant environment and are ready to be demonstrated in an operational environment. Projects in this category **should not** include technology or product development tasks. If technology or product development tasks are necessary, consider proposing in Category B. Projects in Category E 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 from NYSERDA may be funded in phases separated by go/no-go milestones.

The proposer has the option of requesting multiple stage projects that include multiple project categories. For example, a proposer may request consideration of a project that involves a Category A study to determine the feasibility of a new technology, a Category B effort to develop the new technology, and a Category D study to address detailed design for technology installation.

a. Any proposer who requests this should briefly describe how it will complete the initial stage and any following stage along with significant milestones and provide an estimate of the total cost and schedule for each stage.

b. Any contract awarded to fund a multi-stage project does not in any way obligate NYSERDA to fund any more than the first stage.

- i. NYSERDA anticipates awarding contracts for either a single stage of a multistage project, or for multiple stages. In the case of a multi-stage award, NYSERDA anticipates issuing a contract with a maximum, “not-to-exceed” amount with subsequent stages only being awarded on a contingent basis as described below.
 - ii. NYSERDA reserves the right not to move forward with subsequent stages of a multi-stage award, dependent on project success and availability of funding. Later stages may be funded if, in NYSERDA’s sole discretion, milestones from the previous stage have been satisfied, there is still significant potential market impact, and sufficient program funds remain.
 - iii. NYSERDA expects it may award more contingent funding than is available for this program.
 - iv. At the end of each stage, project outcomes will be evaluated to determine if the project will continue to be funded.
- c. The proposal must meet the minimum proposer cost share for each category that is funded.

III. ELIGIBLE TECHNOLOGIES

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

- (1) Advanced monitoring, measurement and control systems and subsystems.
- (2) Transmission and distribution automation and management systems and subsystems.
- (3) Distributed energy resources integration and interconnection systems and subsystems.
- (4) Advanced power electronics and smart inverter systems.
- (5) Advanced materials, conductor and cabling technologies to improve resiliency, reliability, congestion and reduce losses.
- (6) Advanced systems modeling, applications and algorithms, such as data processing, visualization, diagnostics and analytic technologies.
- (7) Advanced planning, operations, design and forecasting tools.
- (8) Advanced sensors, devices, control systems and other equipment innovations that improve transmission and distribution system performance and reliability.
- (9) Innovative cybersecurity solutions and data analytics.
- (10) Advanced and adaptive protective systems and controls.

IV. PROGRAM REQUIREMENTS

Projects proposed for funding must:

- (1) Address an innovative technology that improves the resiliency, reliability, performance, efficiency and provide new services for 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) budget showing total project cost and proposer cost-share. Include a cost-sharing breakdown by project task in the Statement of Work.
- (4) Satisfy recoupment obligations to NYSEDA for any new technology or product development effort requesting cumulative NYSEDA funding over \$100,000 upon product commercialization (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 applications 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 partners / 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 advancement 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.
- Proposers may be required to make an in-person presentation to NYSDERDA prior to a final decision being made.

ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY E DEMONSTRATION PROJECTS ONLY

Category E 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 E: Demonstration Projects Only

NYSDERDA 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 E: Demonstration Projects Only

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

Reporting Requirements for Category E: 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.

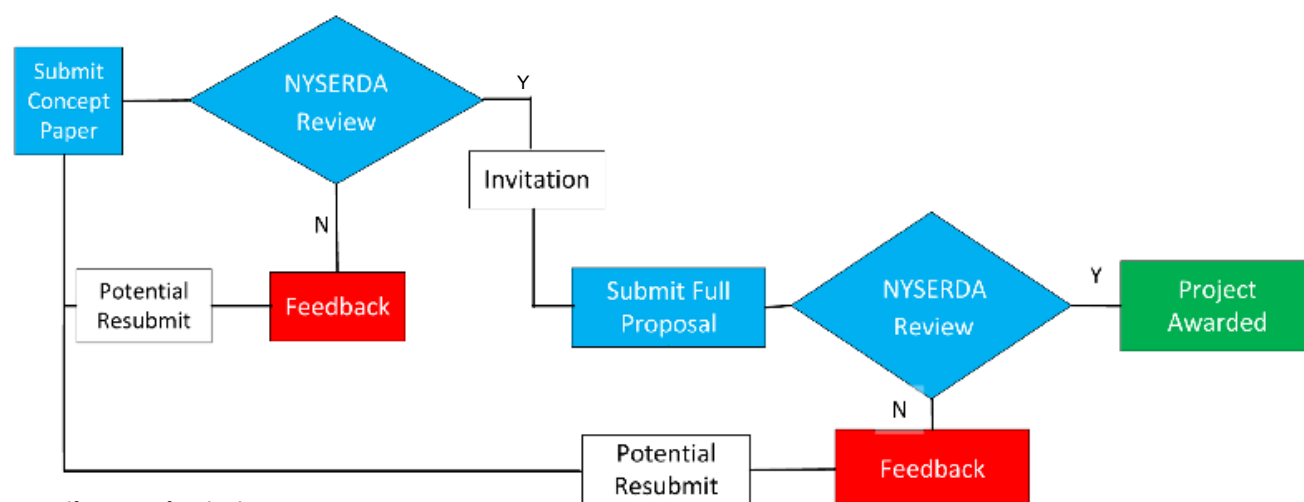
Historical Performance Data Reporting for **Category E: Demonstration Projects Only**

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. SUBMISSION REQUIREMENTS

Multi-step Application Process

A multi-step application process is used for this solicitation. All proposers must first submit a maximum 4-page Concept Paper per the instructions/template in Attachment G. Concept Papers must concisely describe the concept, why this is desirable and scalable in New York State, values to be sought and desired outcomes of the project. NYSEDA will evaluate/score Concept Papers as they are received based on the Scoring Criteria in Section VI. Concept Papers may be submitted to NYSEDA at any time this solicitation remains open for Concept Papers. Following a NYSEDA Review, Concept Paper proposers may be invited to submit a Full Proposal. Proposers invited to submit a full proposal will be provided feedback, questions and concerns related to their concept that should be addressed in the subsequent Full Proposal. Concept Papers for which full proposals are not invited may be resubmitted only one more time, with changes after a debriefing of the strengths and weaknesses. This resubmittal may occur at any time that this solicitation remains open to Concept Papers. This process is depicted in the flow chart below.



Details on Submissions

Prior to Submission

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

Submission Process and Deadlines

Electronic submission is preferable. NYSEDAR will also accept Concept Papers and Full Proposals submissions by mail or hand-delivery. Regardless of the mode of submittal, NYSEDAR will only accept Concept Papers until 5 pm Eastern Time on July 18, 2018, and Full Proposals until 5 pm Eastern Time on August 22, 2018. If submitting electronically, proposers must submit in either PDF or MS Word format. PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Concept Papers and Full 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 NYSEDAR's website

(<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

If mailing or hand-delivering, proposers must submit two (2) paper copies of their submission with required attachments, along with a CD or DVD containing both a PDF and a MS Word digital copy of the Concept Paper or Full Proposal, following the guidelines. Full Proposals (not Concept Papers) must be accompanied with a completed and signed Proposal Checklist. Mailed or hand-delivered Concept Papers and Full Proposals must be clearly labeled and submitted to: **Jillina Baxter, PON 3770, NYS Energy Research and Development Authority, 17 Columbia Circle, Albany, NY 12203-6399**

Concept Papers: Submissions, Review and Re-submittals

Proposers of Concept Papers must use the format of the Concept Paper Template provided as Attachment G. The intent of the template is to present the concept in an orderly, organized manner, without repeating or restating information. Proposers are asked to submit only thoroughly considered Concept Papers. Proposers may submit

Concept Papers to NYSERDA under this solicitation at any time during the open period of the Concept Paper submission. Concept Papers determined compliant with application procedures and responsive to the solicitation will be subject to NYSERDA Review by internal and/or external technical experts in accordance with Section VI Concept Paper and Full Proposal Scoring Criteria. Only the most technically meritorious Concept Papers will receive an invitation from NYSERDA to submit a Full Proposal. Project ideas presented in any Concept Papers not meriting an invited Full Proposal may be resubmitted in a revised Concept Paper, ideally addressing NYSERDA's assessment of strengths and weaknesses. Only one such resubmittal will be considered during the term of this solicitation.

Full Proposals: Submissions, Review and Re-submittals

Proposers may submit a Full Proposal to NYSERDA for consideration under this solicitation only after a favorable review of a Concept Paper and an invitation to submit a Full Proposal. Full Proposals determined to be compliant with application procedures and responsive to the solicitation will be subject to review by a scoring committee comprising of NYSERDA and external technical experts in accordance with Section VI, Concept Paper and Full Proposal Scoring Criteria. Only the most technically meritorious Full Proposals will be awarded an invitation from NYSERDA to enter into a contract. Full Proposals not meriting an award for contracting may be debriefed and resubmitted as a Concept Paper, ideally addressing NYSERDA's assessment of strengths and weaknesses. Only one such resubmittal will be considered during the term of this solicitation.

To submit an invited Full Proposal, complete the Proposal Narrative form-fillable document as part of the PON (Attachment A). The Funding Category must be clearly indicated. The Proposal Narrative contains the following sections:

- Executive Summary
- Problem Statement and Proposed Solution
- State of Research and Technology Targets
 - Attachment C: Technology Readiness Level/Commercial Readiness Level Calculator (Categories A, B, and E)
- Commercialization Potential of Proposed Product
 - Attachment C1: Three-Year Financial Projections Worksheet (Category B)
- Demonstration Project Information (Category E)
- Study Information (Category A, C, and D)
- Statement of Work (Attachment B) 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.

Note: The proposer's goal should be to concisely present the information needed to fully address the scoring 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 scoring criteria. Each page of the proposal should state the name of the proposer, the PON number (PON 3770), and the page number.

VI. CONCEPT PAPER and FULL PROPOSAL SCORING CRITERIA

Concept Papers and Full Proposals will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria. After the submissions are reviewed, NYSERDA will issue a letter to each proposer indicating its Concept Paper or Full Proposal evaluation results. Proposers receiving favorable evaluations will be invited to either submit a Full Proposal or enter into contract negotiations with NYSERDA. After initial review of the Full Proposal, the Proposer, at NYSERDA's sole discretion, may be asked to address specific questions or provide additional information, either in writing or through an interview, as part of the Full Proposal scoring process. The proposer will be required to submit a detailed Statement of Work, budget, and schedule, and may also be asked to address specific recommendations of the Scoring Committee before contract award.

CONCEPT PAPER SCORING CRITERIA:

Problem and Proposed Solution

- How significant is the problem or opportunity to New York State?
- How well does the proposed solution address the problem or opportunity?
- Is the proposed project technically and commercially viable and a clear advancement over existing or competitive industry solutions?
- Is the proposed project novel and/or leverage existing federal / state research priorities and funding?
- Does the proposed project address an eligible technology?
- Does the proposed project meet the category program requirements?
- Does the proposed solution have a high potential for commercialization, addressing demonstrated / validated customer needs and significant market and commercial potential?

New York State Impact and Project Benefits

- Does the project support the Reforming the Energy Vision (REV) goals, grid modernization in general, the Clean Energy Standard, and the Clean Energy Fund goals in New York State?
- Does the proposed project have potential for favorable energy, efficiency, environmental and/or commercial economic growth impact benefits in New York State? How significant are these impacts?
- Does the proposed project address an innovative technology that improves the performance, quality or reliability / resiliency of the electric power system?
- How widely and rapidly deployed can the technology be, both in New York and globally?

Team Qualifications

- 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)?
- Is the proposed team appropriately organized and have the resources necessary to carry out the work plan?

Project Cost and Value

- Is the overall project cost justified and reasonable based on the level of effort proposed and the expected outcome and benefits?
- Is the value proposition and benefits sufficient that the concept or technology will likely be successful and adopted by the market?
- How appropriate are the proposer's co-funding contributions (sources and amounts) with respect to the degree of risk, potential benefits from the work?

Other Considerations – Concept Papers 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.

FULL PROPOSAL SCORING 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?
- Are the commercialization tasks likely to be effective in advancing the technology to market?
- 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, performance and commercialization 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?
- Does the proposed solution have a high potential for commercialization, addressing demonstrated customer needs and significant markets?

Proposed Work (Category E 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?
- Does the proposal include a New York State demonstration 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 the 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?

- 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/or economic impacts in New York State? How significant are these impacts?
- 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, performance and commercialization 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?
- Does the work strategy in the Statement of Work include technical and business development tasks and is likely to achieve the technical, performance and commercialization 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 technical, performance and commercialization 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 and tasks reasonable and complete in details?

The following criteria apply to Category E 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 E DEMONSTRATION PROJECTS ONLY?
- Is the benefits tracking plan reasonable and does it meet the requirements in Section V, ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY E 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 / Team 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 and team have the necessary technical and business background and experience?
- 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 B & E only) -

- Is the proposed product or concept likely to be successful?
- Are there sufficient markets or needs for the concept/technology?
- How significant is the commercial potential of this technology?
- How widely deployed can the technology be, both in New York and globally?
- 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 Program Policy Factors – In addition to considering how project Concept Papers and Full Proposals satisfy the Scoring Criteria listed above, NYSERDA reserves the right to make funding decisions on the basis of other Program Policy Factors, including but not limited to:

- Proposer's record of prior performance in NYSERDA-funded projects
- Geographic distribution of funding and impact
- Diversity of customers receiving project benefits
- Prospects for learning opportunities
- Similarity to ongoing or completed projects receiving NYSERDA support.

VII. RECOUPMENT AND METRICS

Recoupment. For any efforts **exceeding \$100,000** that involve product development and commercialization, 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 and Commercialization: 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: Sample Metrics Reporting Guide for the metrics that you will be expected to provide and the reporting duration. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

VIII. GENERAL CONDITIONS

PROPRIETARY INFORMATION

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

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501. <http://www.nysenda.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 <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

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

Contract Award - NYSEDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA, at its sole discretion, will decide whether to contract successful projects using time and material or milestone payment terms. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. NYSEDA expects to notify proposers in approximately 4 weeks from the Concept Paper submission date and approximately 10 weeks from the Full Proposal submission date. **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 submissions 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 submissions 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.

IX. Attachments

Attachment A – Proposal Narrative Format

Attachment B - Statement of Work Format

Attachment C – TRL-CRL Calculator Workbook

Attachment C1 – 3 Year Financial Projection Worksheet

Attachment D - Contract Pricing Proposal Form Instructions

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 – Concept Paper Template

Energy Study Aggregation Program
Program Opportunity Notice (PON) 3787

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-serve basis dependent on funding availability until December 31, 2022 by 5:00 PM Eastern Time*

NYSERDA is soliciting applications from current FlexTech Consultants with valid FlexTech agreements to demonstrate new, innovative, and streamlined approaches for delivering objective energy efficiency studies to commercial facilities. The approach ("Business Model") must incorporate an aggregation of Participant Sites ("Aggregation Portfolio") to achieve economies of scale by reaching a greater number of customers at a reduced cost.

NYSERDA is interested in exploring scalable, sustainable, and replicable energy study solicitation and delivery Business Models that reduce customer acquisition and technical energy study costs. The goal of the Energy Study Aggregation Program is to improve the predictability of returns from investments by providing replicable Business Models and streamlined energy efficiency studies.

Each Aggregation Project will receive up to \$50,000, paid directly to the FlexTech Consultant, as an incentive to test their proposed Business Model. The incentive will be broken out two ways: 1: a one-time lump sum of \$5,000 paid upon the FlexTech Consultant acquiring the minimum number Participant Sites in the Aggregation Portfolio and 2: a performance incentive up to \$45,000 based on the *recommended* energy savings within the Aggregation Portfolio. The performance incentive is set at \$110/MWh for *recommended* electric measure savings and \$5/MMBtu for *recommended* fuel measure savings. The Consultant's use of the incentives will be at their discretion. It is not required that the Participant Sites cost-share the study or that the Consultant share any portion of the NYSERDA incentive with the participant.

Only measure savings from building energy efficiency or retro-commissioning improvements will be included in determining the Aggregation Project incentive and payment. Measure savings from renewables, on-site generation, or other Distributed Energy Resources (DERs) are not eligible for the program incentive. Additionally, lighting only studies are ineligible for program funding.

Participant Sites in the Aggregation Portfolio must pay into the Systems Benefit Charge (SBC) on their electric utility bill.

Application Submission: Complete and submit your application online at https://nyserda.seamlessdocs.com/f/aggregation_app.

When completing your application, submit documents only in the follow formats: .doc, .docx, .pdf, .xls, .xlsx, .ppt, .pptx, .pps, .ppsx, compressed versions of the above files types in .zip format. **File names must include the applicant's name.**

Individual files should be 100MB or less in file size. Application files should be searchable. Files should not be scanned. Online submission is preferable. NYSERDA will also accept applications by mail or hand-delivery if online submission is not possible.

No communication intended to influence this procurement is permitted except by contacting Lindsey June at 518-862-1090 ext., 3572 or by email at lindsey.june@nyserda.ny.gov for program questions. If you

have contractual questions concerning this solicitation, contact Nancy Marucci, 518-862-1090 ext. 3335, or by email at nancy.marucci@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the applicant or indirectly through a lobbyist or other person acting on the applicant's behalf) in an attempt to influence the procurement: (1) may result in an applicant being deemed a non-responsible offerer, and (2) may result in the applicant not being awarded a contract.

*** All applications must be received by 5pm Eastern Time on the date noted above. Late, faxed, or emailed applications will not be accepted.** Incomplete applications may be subject to disqualification. It is the applicant's responsibility to ensure that all pages have been completed/included in the application. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 30 minutes to enter/submit applications. The online application system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

The Energy Study Aggregation Program aims to create an opportunity for current FlexTech Consultants to develop and test aggregation energy study Business Models for the commercial sector. A successful Business Model is defined as a scalable, sustainable, and replicable energy study and delivery approach that reduces customer acquisition and technical energy study costs, while producing technically sound energy efficiency studies to an Aggregation Portfolio. The energy efficiency studies can be targeted to a specific technology or encompass a whole building energy audit approach.

Participant Sites could include groups of commercial facilities with similar building characteristics, equipment, operating schedules or need, for example. The goal of the Energy Study Aggregation Program is to evaluate whether commonalities across the Aggregation Portfolio can yield economies of scale when evaluating efficiency opportunities. This program is an alternative to the site-specific technical support provided through the NYSERDA FlexTech program.

II. Definitions

Aggregation Project: The development, testing, and reporting of the FlexTech Consultant's Business Model on an Aggregation Portfolio to prove whether the Business Model can successfully meet the program's goal of achieving economies of scale with an aggregated energy study approach.

Aggregation Portfolio: The group of more than one (1) Participant Site or (1) portfolio owner committed to the Aggregation Project.

Applicant: See *Consultant*

Business Model: An approach developed by the FlexTech Consultant to test a defined methodology for producing reduced-cost, technically sound energy studies.

Business Model Case Study: A consolidated format to present the Aggregation Project's assumptions and results with the marketplace.

Consultant: The NYSERDA approved FlexTech Consultant with a valid FlexTech agreement that submits a Project Application.

Final Aggregation Project Report: A summary report describing the assumptions and results of the tested Business Model and an identification of the total energy savings from all the NYSERDA approved individual Participant Site Reports.

Participant Site: A single independent property, or the properties under one single portfolio owner committed to receive an energy study as part of the Aggregation Portfolio. The Participant Sites serve as the testing platform for the Aggregation Project's Business Model.

Participant Site Application: The application for each Participant Site that has committed to participate in the Aggregation Portfolio.

Participant Site Report: The energy study report deliverable for each Participant Site.

Project Application: The application submitted by the Consultant to NYSERDA that outlines the proposed Business Model and Participant Site acquisition plan for the Aggregation Project.

Quarterly Project Report: The standard mechanism to track and report the Aggregation Project's progress of energy savings from the NYSERDA approved individual Participant Site Reports and to document each quarter's performance incentive.

Standard Task Work Order: A standard contractual document that identifies the responsibilities that the Consultant will be held to for the Aggregation Project, including the Consultant's tasks, deliverables and schedule. Refer to Attachment B – Standard Task Work Order.

III. Eligible Applicants

Only current NYSERDA approved FlexTech Consultants with valid FlexTech agreements may apply to the Energy Study Aggregation Program. Consultants should have experience and relationships that make them well-positioned and qualified to sell and execute their proposed Business Model to potential Participant Sites. NYSERDA is open to diverse partnerships with sub-contractors, marketers, and implementation vendors to support the FlexTech Consultant's Business Model.

NYSERDA will contract directly with the FlexTech Consultant via a Task Work Order under their existing FlexTech Consultant agreement with NYSERDA. Any partnerships established by the FlexTech Consultant must be subcontracted directly through the FlexTech Consultant. NYSERDA will not contract with any entity other than the FlexTech Consultant.

The current listing of FlexTech Consultants can be found at: www.nyserda.ny.gov/FlexTech. Energy consultants, engineering companies, energy service companies (ESCOs) and other eligible firms interested in becoming a NYSERDA FlexTech Consultant should refer to [RFP 3628](#) for additional information.

Project Applications to the Energy Study Aggregation Program from firms that are not on the FlexTech Consultant list will not be approved until such time that the firm is accepted as a FlexTech Consultant. If the firm is removed from the FlexTech Consultant list, their Project Application(s) and/or active Aggregation Project(s) may be cancelled.

IV. Eligible Participant Sites

Eligible Participant Sites must meet all of the following criteria:

- Existing New York State commercial facilities, which include but are not limited to: office buildings, retail, colleges and universities, health care facilities, state and local governments, not-for-profit and private institutions, and public and private Pre-K-12 schools. Note: Facilities that have undergone substantial renovations and have been occupied for more than one year are eligible.
- New York State electricity distribution customers of a participating utility company that pays into the System Benefits Charge (SBC). These utilities include Central Hudson Gas & Electric Corporation, Consolidated Edison, New York State Electric & Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric Corporation.
- Those that have the need for the energy efficient technology and end-use analysis proposed in the Consultant's Business Model.
- Those that have not participated in a NYSERDA technical assistance program within the past (3) years for a study similar to the study type in the Consultant's Business Model.

V. Program Requirements

The Consultant must develop a proposed reduced-cost energy study Business Model using an aggregation approach that includes more than one (1) property or portfolio owner participating within the

overall project. Aggregation studies can vary in the proposed type or nature of the study, but the studies must provide customers with technically sound and objective information needed to make informed energy investment decisions. Projects may not evaluate the same measures at a Participant Site more than once.

The Consultant is required to identify and acquire Participant Sites to participate in the Aggregation Portfolio that fulfill the intent of the Consultant's proposed Business Model. The Participant Sites can be identified at the time of Project Application submittal, but it is not a requirement. Consultants can apply with a Business Model concept and solicit Participant Sites post-Project Application approval.

Participant Sites can be added to the Aggregation Portfolio at any time, as long as the required deliverables will be provided to NYSERDA within the Aggregation Project's 1-year schedule. There is no maximum number of Participant Sites that can be included in the Aggregation Portfolio. However, additional incentives will not be provided beyond \$50,000 per Aggregation Project.

The Energy Study Aggregation Program has a Standard Task Work Order that the Consultant will agree to at the time of application submission. Please refer to *Attachment B – Standard Task Work Order*.

1. Participation Process and Timeline

Within one (1) year from the Purchase Order (PO) issuance, the following tasks must be completed:

- a. Customer Acquisition of a minimum of two (2) Participant Sites and the submission of their Participant Site Applications
- b. Participant Site Reports
 - i. Participant Site studies cannot commence until the minimum number of Participant Sites are committed to the project by way of submitting their Participant Site Application to NYSERDA. Please see Section VII – Participant Site Application Requirements for additional details.
 - ii. The Participant Site Reports may be submitted, via a SharePoint site link to be provided to the Consultant by NYSERDA, as they are completed to allow for timely technical review by NYSERDA. Refer to *Section V.2. - Participant Site Report Requirements* for the report requirements.
 - iii. If no energy study reports have been submitted by the second quarterly reporting period, the Consultant must notify NYSERDA in writing of the barriers encountered and how they were addressed as well as a proposed timeline for report submission. NYSERDA will review this information and determine, in consultation with the Consultant, if the Business Model approach is still attainable, or if the approach should be discontinued.
 - iv. If all Participant Site studies within the Aggregation Portfolio are completed prior to the 1-year Aggregation Project timeline, a final Quarterly Project Report and Final Aggregation Project Report is required to be submitted before the final payment will be released.
- c. Quarterly Aggregation Reporting
 - i. At the end of each quarter (following PO issuance):

- Quarterly Project Reports to document the progress of the overall Aggregation Project. See *Section V.3. – Quarterly Report Requirements*
 - Incentive payments resulting from the *recommended* savings in the individual Participant Site Reports will be processed via *Section VIII. Incentive and Payment Guidelines*.
- d. Mid-Project Meeting with NYSERDA:
- i. At the end of the 2nd quarter of the Project Period, NYSERDA will arrange a mandatory meeting (by phone) with the Consultant to review the status of the project, including progress made, barriers discovered, and lessons learned.
- e. Final Aggregation Project Report that summarizes the results of the Business Model and energy efficiency savings:
- i. The Consultant must develop a final project report per *Section V.4. - Final Aggregation Project Report Requirements*.

ENERGY STUDY AGGREGATION PROGRAM PARTICIPATION PROCESS & TIMELINE

App Submitted	App Review (1-2 Days)	App Review Call (1 Week)	Purchase Order Execution (30 days)	Participant Site Apps Submitted	Energy Studies Conducted	Submit Draft Reports	End of Each Quarter (from PO issuance)	Mid-Project Review Meeting	Final Project Report
Consultant submits the Aggregation Project Application with the proposed Business Model	- Initial Application Review by NYSDERDA - NYSDERDA Project Manager (PM) is Assigned	- PM schedules & conducts Application Review Call with Consultant - PM provides comments, as necessary to Consultant¹	NYSDERDA Issues Purchase Order	Consultant submits the Participant Site Applications as facilities commit to the Aggregation Portfolio	Consultant proceeds with energy studies after (2) Participant Site Applications are submitted & the Aggregation project PO is issued	- Consultant submits Draft Participant Site reports to the PM as they are completed - PM provides comments, as necessary to Consultant²	Applicant submits quarterly PSS³ & payment request	At the end of the 2nd quarter, NYSDERDA will arrange a mandatory meeting (by phone) with the Consultant to review the status of the project	- Applicant submits Final Report with PSS³ & payment request - All NYSDERDA technical review and approvals completed

Notes:

- ¹ Consultant has 30 days to revise and resubmit the application to the NYSDERDA PM. The PM then has 1 week to review the revised application and either provide additional comments, or route the project for PO execution. Applications may require more than one round of comments.
- ² Consultant has 30 days to revise and resubmit the draft report to the NYSDERDA PM. The PM then has 2 weeks to review the revised report and either provide additional comments, or approve the report. Draft Reports may require more than one round of comments.
- ³ PSS = Project Summary Sheet
- Failure to submit items within the specified timeline may result in cancellation.

2. Participant Site Report Requirements

The energy study report deliverable for each Participant Site can vary dependent on the Participant's needs. The intent is for the Consultant to develop a report based on the needs of the customer while providing the customer sufficient information to make informed energy investment decisions. These reports must be submitted to NYSERDA for technical review. To allow for sufficient technical review, the minimum report content required is identified in *Attachment B – Standard Task Work Order*.

3. Quarterly Aggregation Project Report Requirements

The Quarterly Project Reports are a mechanism to track and report the recommended energy savings from each Participant Site in the Aggregation Portfolio and to document the earned performance incentives per quarter. The quarterly reports must be submitted to NYSERDA, per the requirements identified in *Attachment B – Standard Task Work Order* and use the appropriate quarterly worksheets of the [Project Summary Sheet Template](#) located on NYSERDA's Aggregation Program webpage.

4. Final Aggregation Project Report Requirements

The intent of the final project report is to summarize the assumptions and results of the tested Business Model and identify the total energy savings from all the individual Participant Site Reports that were approved by NYSERDA. The Final Aggregation Project Report must be submitted to NYSERDA, per the requirements identified in *Attachment B – Standard Task Work Order* and include all the items identified in the [Final Aggregation Project Report Template](#) located on NYSERDA's Energy Study Aggregation Program webpage.

5. Energy Savings Analysis Guidelines

- Each measure must be evaluated using sound engineering approaches, including using the NYS Technical Manual calculations, developing custom spreadsheet-based calculations, or using energy modeling simulation software
- Savings cannot be based on rule of thumb assumptions, percent savings, third-party savings calculators, or white paper references
- Only measure savings from building energy efficiency or retro-commissioning improvements will be included in determining the Aggregation Project incentive and payment. Measure savings from renewables, on-site generation, or other Distributed Energy Resources (DERs) are not eligible for the program incentive.
- Lighting only studies are ineligible for program funding
- Only the savings of *recommended* measures will be considered in the calculation of the performance incentive
- Recommended measure statuses include: 'Recommended' (R), 'Recommended Mutually Exclusive' (RME), and 'Implemented' (I)
- To report a measure as (R) or (RME) or (I), the simple payback of the measure must not exceed the measure life indicated in the current version of the [NYS Technical Resource Manual](#) at the time of the Project Application submission

- The simple payback for each recommended retro-commissioning measure (RCxM) must be less than 3 years to be considered in the calculation of the performance incentive
- The measure statuses of 'Not Recommended' (NR), 'Mutually Exclusive' (ME), 'Recommended for Further Study' (RS), and 'Recommended Non-Energy (RNE) measures will not be considered in the calculation of the performance incentive

6. Business Model Case Study

The Business Model Case Study will serve to present the Aggregation Project assumptions and results to the marketplace. The case studies will only contain aggregated project data; no Participant Site-specific information will be presented.

Case studies will be developed by NYSERDA using information from the approved Final Aggregation Project Report and may be posted to the Energy Study Aggregation Program's website.

VI. Project Application Requirements

Complete and submit your application online at https://nyserda.seamlessdocs.com/f/aggregation_app. The Energy Study Aggregation Program has a Standard Task Work Order that the Consultant must agree to at the time of application submission. Please refer to *Attachment B – Standard Task Work Order*.

Project Applications will be reviewed on a first-come, first-served basis dependent on funding availability. A complete application package includes the Project Application with a corresponding Business Model. Please refer to *Attachment A – Business Model Template*.

The Consultant's participation in the Energy Study Aggregation Program, PON 3787, will be limited to ten (10) Aggregation Project applications. NYSERDA may allow multiple Project Applications of the same or differing Business Models at their discretion.

Project Applications will be evaluated based on meeting the following criteria:

- The Business Model explains how the approach is scalable, replicable and sustainable and identifies how it is anticipated to provide reduced-cost energy studies
- The energy efficiency study method of analysis meets the minimum requirements identified in this PON (PON 3787) and shows evidence of producing reduced-cost studies. See *Section V.5. - Energy Savings Analysis Guidelines*
- The Project Application identifies the Participant Sites that are committed to the Aggregation Portfolio with a description of their commonalities. Alternatively, the Project Application includes a Participant Site acquisition plan that identifies target Participant Sites or a target type of potential Participant Sites with a description of their commonalities.
- The Consultant has provided evidence that there is enough potential for energy savings at the identified or targeted Participant Sites robust enough to expend the full performance incentive. Additionally, only eligible measures will contribute to the potential energy savings.
- The energy studies have not been started prior to NYSERDA's receipt of a completed Project Application

NYSERDA reserves the right to change the Project Application evaluation criteria at any time. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website.

After a complete Project Application package is reviewed by the NYSERDA Project Manager, NYSERDA will inform the Consultant of their application status. NYSERDA intends to work with Consultants during the review process through the sharing of comments and recommendations to encourage successful applications. This may include:

- Discussion and recommended adjustments of the proposed Business Model
- Adjusting the recommended Participant Site selections, or approach to targeting Participant Sites
- Discussion of allowable measures & savings to be included in the project

Project Applications will be rejected when:

- The eligibility requirements set forth in Sections III and IV are not met
- The application package is incomplete per Section VI
- Successful negotiation of the application package is not possible after comments and discussion with NYSERDA

VII. Participant Site Application Requirements

Each Participant Site must submit a separate Participant Site Application, executed by an authorized representative of the facility, to confirm their participation commitment and certify their eligibility. It is expected that the Consultant will assist each Participant Site with the preparation of the Participant Site Application. The Participant Site Application must be submitted via an online form. The webpage link to this form will be provided to the Consultant after the NYSERDA Project Manager reviews the Project Application, at which time the Participant Site Applications can be submitted to NYSERDA. A [Sample Participant Site Application](#) can be found on the Energy Study Aggregation Program website.

A minimum of two (2) Participant Site Applications must be submitted to NYSERDA prior to the commencement of the energy studies.

VIII. Incentive and Payment Guidelines

NYSERDA will provide incentives directly to the Consultant based on successful customer acquisition and the total *recommended* energy efficiency savings in the NYSERDA approved Participant Site Reports.

The Consultant's use of the incentives is at their discretion. It is not required that the customers pay for a portion of the study or that the Consultant share any portion of the NYSERDA incentive with the customers.

Consultant Incentives

Each Aggregation Project is eligible to receive up to \$50,000 that will be broken out two ways:

- **Participant Site Acquisition Incentive:** A one-time lump sum payment of \$5,000 will be paid to the Consultant when the minimum number of Participant Sites are committed to the project by way of submitting their Participant Site Application to NYSERDA.
- **A Performance-based Incentive:** up to \$45,000 will be paid to the Consultant in quarterly increments based on the amount of *recommended* savings contained in the NYSERDA approved

Participant Site Reports. The incentives are set at \$110/MWh for *recommended* electric efficiency measure savings and \$5/MMBtu of *recommended* fuel efficiency measure savings, up to \$45,000 per Aggregation Project. 15% of each quarterly incentive will be withheld to be payable upon approval of the Final Aggregation Project Report.

Payments

- Payment requests must be submitted using the payment templates within the [Project Summary Sheet Template](#), located on NYSERDA's Energy Study Aggregation Program webpage. The payment templates break out the kWh and MMBtu savings approved per quarter, the associated kWh and MMBtu savings incentive, and the total incentive payment.
- Payment requests must be submitted to the NYSERDA Project Manager at the same time as the quarterly report submissions. Payment requests will be accepted no more frequently than quarterly.

IX. General Conditions

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your application. Review should include whether it is critical for evaluating 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 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.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
625 Broadway
Albany, NY 12207

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

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

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

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion or following limited discussion or negotiations. NYSERDA may request additional data or material to support submissions including Business Model modifications or negotiations before issuing a Purchase Order. Each application should be submitted using the most favorable technical terms. NYSERDA will use Attachments A, B and C to contract successful applications. A sample Purchase Order is available on request. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA expects to notify customers in approximately four (4) weeks from the receipt of a complete application package whether the submission has been selected to receive an award.

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing 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. 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 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. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

Attachments:

Attachment A – Business Model Template
Attachment B – Standard Task Work Order



CLEAN ENERGY FUND
STATIONARY FUEL CELL PROGRAM
Program Opportunity Notice **(PON) 3841**
Total Program Funding: \$15 Million
\$7.5 Million Per Year

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

Funding is on a first-come, first-served basis until all funding has been fully committed, with the caveat that no single OEM's equipment can be awarded more than half of the program's budget. Applications will be accepted through December 31st, 2019 until 5:00 pm.

Financial incentives are available to support the installation and operation of continuous duty, stationary fuel cell systems at eligible host sites in New York State, with two years of funding available totaling up to \$15 million. Only projects installed at sites where the electric customer pays the System Benefits Charge (SBC) on the electric bill for the meter behind-which the fuel cell system will be installed are eligible to receive funding through this program. In order to participate in PON 3841, applicants must comply with all program rules, procedures, and eligibility requirements, submit all required forms and supplemental documentation, and enter into a Standard Performance Agreement (SPA) with NYSERDA. Applicants must also adhere to the performance measurement requirements throughout the term specified in the SPA.

Application Submission: Applications (including any required attachments and supporting documentation) must be completed and submitted online at https://nyserda.seamlessdocs.com/f/FuelCell_proj_app. Incomplete or inaccurate applications will not be accepted. Faxed or e-mailed applications will not be accepted. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document.

Contact Information: All Program Questions should be directed to: Scott Larsen, (518) 862-1090 ext. 3208, Scott.Larsen@nyserda.ny.gov. All Contractual Questions should be directed to: Venice Forbes, (518) 862-1090 ext. 3507, Venice.Forbes@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** All applications must be received by 5pm Eastern Time on 12/31/2019. Late, faxed, or emailed applications will not be accepted.** Incomplete applications may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been completed/included in the application. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit applications. The online application system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

Through the Clean Energy Fund (CEF), NYSERDA seeks to promote the development of clean, local energy resources that strengthen and improve the reliability of the grid. Continuous-duty stationary fuel cells operate as dispatchable, ultra-clean distributed generation resources, which can relieve stress on the grid and improve reliability. NYSERDA's offering will provide financial support to assist facilities with projects to reduce the upfront costs to install and operate fuel cells, reduce their energy expenses and greenhouse gas emissions, relieve strain on the electric grid, and where applicable, to enhance the resiliency of the host site.

The CEF Stationary Fuel Cell Program seeks to support the purchase, installation, and operation of continuous duty stationary fuel cell electric power generation equipment at eligible host sites in New York State. The Fuel Cell Program is targeted at "behind the meter" generation, or generation that is sited at the electric customer's location and used primarily to serve the electric customer's load (i.e., not primarily exported to the utility grid). PON 3841 will support the installation of a large fuel cell module with a nameplate rating greater than 25 kW. A "fuel cell system" may consist of one or more large fuel cell module(s) installed at a project site. This initiative is aimed at quickly maximizing the amount of electricity produced by fuel cells in New York State, and therefore addresses rapid installation and long-term operation of mature, commercially-available continuous duty fuel cell systems. NYSERDA maintains a list of fuel cell systems which are eligible to participate in this solicitation (see Appendix E – check NYSERDA's website for periodic updates to Appendix E).

II. Program Requirements

A. System Performance: Eligibility Criteria and Incentive Payment

Since the CEF Fuel Cell Program is aimed at electric generation, the recovery and beneficial use of heat produced by the fuel cell is not mandated under this program, however, to be eligible for the program, applicants must meet a minimum total system efficiency of 45% based on Higher Heating Value (HHV). Applicants selecting fuel cell systems which do not meet or exceed 45% electrical efficiency are advised to consider maximizing the efficiency of their systems by including heat recovery features as an approach to meet the minimum program requirements and optimize the economic life cycle of their projects. Applicants will be required to submit supporting documentation as part of their application which demonstrates a design intent that will meet or exceed the 45% HHV threshold. Fuel cell systems installed under PON 3841 must meet minimum total system efficiency requirements of 45% based on HHV. Total System Efficiency (EFF_{Total}) will be calculated by dividing the sum of the Net Useful Electric Power (P) and the Net Useful Thermal Production (Q) by the Total Fuel Input (F) (see Equation 1 below) at HHV.

$$EFF_{Total} = \frac{P + Q}{F}$$

All projects will be required to institute performance measurement procedures to be eligible to receive payment from NYSERDA. The Contractor must develop a Performance Measurement Plan (in accordance with Appendix C to PON 3841 CEF Fuel Cell Program) *in conjunction with NYSERDA's Agent*. The Performance Measurement Plan must be received and approved by NYSERDA prior to submittal (or payment) of any invoices. The Contractor shall be responsible to provide the instrumentation (sensors and meters) and communications capability specified within the approved Performance Measurement Plan; all performance measurement activities shall be conducted in accordance with the approved Performance Measurement Plan. The site will be required to install and maintain on-site sensors and meters approved by NYSERDA or NYSERDA's designated agent, which will be used for monitoring and data acquisition to confirm the amount of energy production. All data acquired by NYSERDA will be made available to the general public.

Applicants will be responsible for the purchase and installation of necessary monitors and sensors (e.g., revenue grade fuel and electric meters), and projects will provide the necessary instrumentation and communications systems (e.g., phone lines, internet access) to monitor systems for remote data collection. If not provided by the project site, NYSERDA will arrange for connecting sensors and meters to data acquisition systems. Projects must provide monitoring data for a minimum of three consecutive years through an automated data collection and remote transfer mechanism that will compile 15-minute interval data and at least once per day transfer such data to NYSERDA whereat NYSERDA will make such data available to the general public by posting at

dg.nyserda.ny.gov. See Appendix C for more details.

A Performance/Efficiency Incentive payment will be offered through this program for the system's net production (the portion of verified fuel cell electricity generation, which exceeds the fuel cell system's parasitic consumption) and may be provided to site's that meet the efficiency criteria in the year subsequent to commissioning. Performance/Efficiency Incentives are offered based on verified net kWh of generation.

Fuel cell systems installed under PON 3841 must operate at capacity factors of greater than 50% and at total system efficiency of greater than 45% based on higher heating value to be eligible for the Performance/Efficiency Incentive. Annual Capacity Factors (ACF) will be determined by dividing the net output of the fuel cell system during a one-year period by the maximum rated output (nameplate rating) of the fuel cell times 8760 hours per year (see Equation 2 below).

$$ACF = \frac{\text{Actual Net Annual Output}}{\text{Nameplate rating} \times 8760} \quad \text{where;}$$

- *Actual Net Annual Output* is the total verified electrical energy delivered by the fuel cell system to the site per year (i.e., fuel cell stack production minus parasitic consumption)

B. Incentives

Base Incentive: Fuel cell systems installed to operate in parallel with the electric grid will be eligible to receive incentives of \$1,000 per kW of installed capacity not to exceed the Maximum Total Incentive cap.

Grid Independent Incentive: NYSDA strongly encourages the installation of distributed generation resources that are capable of grid independent operation. Fuel cell systems installed under PON 3841 that are configured to run in the event of a grid outage will be eligible to receive a grid independent operation/standalone capability incentive of \$500 per kW of installed capacity or the remainder of the Maximum Total Incentive cap, whichever is less. For installations with islanding capability, the Contractor shall demonstrate the actual operation of the fuel cell system in grid-parallel mode, its transition to and operation in stand-alone mode where it actually serves the facility to the fullest extent intended, and its transition back to and operation in grid-parallel mode.

Total Base Incentive: The Total Base Incentive is the sum of the Base Incentive plus the Grid Independent Incentive, if applicable. Any Bonus Incentives a project site may be eligible for are calculated based on the Total Base Incentive. Total incentives for any project may not exceed the Maximum Total Incentive cap of \$1 million.

Bonus Incentives

Downstate Differential Incentive: The Total Base Incentive will be increased by 10% for fuel cell systems installed in the Downstate region of NY State. 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

Target Zone Incentive (Consolidated Edison Territory Only):

CHP Target Zones have been established by Consolidated Edison for load service areas of particular interest and will also be applied to fuel cell projects installed via this solicitation. 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 NYSDA, an additional bonus equal to 25% of the Total Base Incentive of the Fuel Cell Program incentive will be paid as part of the final invoice, provided the fuel cell system is fully operational prior to May of the target year and the total Fuel Cell Program incentive does not exceed \$1.0 million. 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.

Critical Infrastructure Incentive: 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)

The Total Base Incentive will be increased by 25% for fuel cell systems installed to support critical infrastructure provided that the electric and/or thermal output of the fuel cell benefits that portion of the building(s) designated as critical infrastructure and that the fuel cell system is configured to run during a grid outage.

Community Microgrid Incentive: NY Prize seeks to support the development of community grids connected to multiple, uniquely owned/controlled buildings that act as a group of interconnected loads and distributed energy resources, lie within a clearly defined electrical boundary and act as a single controllable entity, which can connect and disconnect from the surrounding utility grid and operate in both grid-connected or island mode, and encompassing no less than one facility providing a critical service to the public. The Total Base Incentive will be increased by 25% for fuel cell systems installed with Grid Independent capability to support at least the Critical Infrastructure component of a Community Microgrid.

Maximum Total Incentive: The Maximum Total Incentive is the sum of the Total Base Incentive plus any Bonus Incentive(s), the site may be eligible for. Bonus Incentives are calculated based on the Total Base Incentive. The Maximum Total Incentive for any project shall not exceed \$1,000,000 regardless of system size or qualification for Bonus Incentives. A site/customer location/facility with multiple electric meters can seek to install a fuel cell project at each such eligible meter as separate, multiple contract awards from NYSERDA, however, the aggregate of NYSERDA awards under this program to a site/customer location/facility shall not exceed \$1 million.

Incentive Payment Schedule:

Milestone 1: Capacity Incentive: 50% of the Maximum Total Incentive will be paid when:

- The Performance Measurement Plan has been approved by NYSERDA and NYSERDA's Agent
- The fuel cell system is fully installed, including interconnections to building systems, and written permission to operate the system has been obtained from the utility and submitted to NYSERDA's project manager
- The fuel cell system is fully commissioned and operational and reporting data to the NYSERDA DG/CHP website,
- An Installation Report, including a detailed cost breakdown, has been accepted by NYSERDA's project manager
- Documentation to substantiate any claims for Bonus Incentives (including demonstration of transitioning to and back from Grid Independent operation, if applicable) has been accepted by NYSERDA's project manager
- A copy of the final interconnection agreement between the project site and the utility has been submitted to NYSERDA's project manager
- A post installation site inspection has been completed by NYSERDA or NYSERDA's agent

Milestone 2: Performance/Efficiency Incentive: The fuel cell system must achieve full operation within 15 months of the NYSERDA contract effective date in order to be eligible for disbursement of the Milestone 2 payment, and if so the remaining 50% of the Maximum Total Incentive will be paid when:

- The fuel cell system has completed one year of operation subsequent to the date of commissioning and has met the minimum capacity factor and efficiency requirements for PON 3841

- A performance report detailing the operational data for one year subsequent to the date of commissioning and calculations showing that the fuel cell system has met the minimum capacity factor and efficiency requirements for PON 3841 has been accepted by NYSERDA's project manager

The Incentive Calculator: The CEF Fuel Cell Program Incentive Calculator (Appendix A) can be used to calculate the incentive that will be available for a particular fuel cell system design at a specific site. Note: The Incentive Calculator is only to be used to obtain an estimate of the Fuel Cell Program 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.

CEF Stationary Fuel Cell System Incentive Summary

Definitions: Fuel cell modules greater than 25 kW

CEF Program Funding Allocation: \$7.5 million per year for 2 years

Project Funding Caps: \$1 million per installation not to exceed \$1 million per site/customer location/facility.

Base Incentive:

- Large Fuel Cells: \$1,000 per kW not to exceed the Maximum Total Incentive cap.

Grid Independent Operation/Standalone Capability Incentive:

- Additional \$500 per kW of installed capacity or the remainder of the Maximum Total Incentive cap, whichever is less.

Total Base Incentive:

- Sum of the Base Incentive and the Grid Independent/Standalone Capability Incentive not to exceed the Maximum Total Incentive cap.

Downstate Differential Incentive:

- Additional 10% of the Total Base Incentive as calculated by the CEF Fuel Cell Incentive Calculator or the remainder of the Maximum Total Incentive cap, whichever is less.

Consolidated Edison Target Zone Incentive:

- Additional 25% of the Total Base Incentive as calculated by the CEF Fuel Cell Incentive Calculator or the remainder of the Maximum Total Incentive cap, whichever is less.

Critical Infrastructure Incentive:

- Additional 25% of the Total Base Incentive as calculated by the CEF Fuel Cell Incentive Calculator or the remainder of the Maximum Total Incentive cap, whichever is less.

Community Microgrid Incentive:

- Additional 25% of the Total Base Incentive as calculated by the CEF Fuel Cell Incentive Calculator or the remainder of the Maximum Total Incentive cap, whichever is less.

Maximum Total Incentive:

- Sum of the Total Base Incentive and any Bonus Incentive(s) the site is eligible for, not to exceed \$1 million.

C. Eligibility:

To participate in PON 3841 CEF Stationary Fuel Cell Program, the following criteria must be met:

- Only new generation equipment purchased or installed under a fully executed PON 3841 CEF Fuel Cell Program Standard Performance Agreement will be eligible for the program;
- Fuel cell modules must be greater than 25 kW;
- Project sites must be located at eligible host sites in New York State, and must be positioned at the site at an elevation above the 500-year floodplain;
 - If the site is located within a 500-year flood zone as shown on an approved or proposed FEMA flood zone map, then the fuel cell 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 waive this requirement on a case-by-case basis 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.

- Projects must be located at sites that pay the NYS SBC Program Surcharge on the electric meter behind-which the fuel cell system will be installed
- Fuel cell electricity must be generated and used primarily by the project sites, where the utility meter, which is interconnected with the grid, is located;

Fuel cell systems must:

- Consist of commercially available technologies as listed at Appendix E,
- Be warranted for continuous duty for 3 consecutive years by the original equipment vendor, and
- Have a detailed maintenance agreement with a factory service provider for the duration of the 3-year warranty period.

Applications must include:

- A signed contract between the host site and the project developer (including a chain of contracts extending to the Fuel Cell OEM, if different than the project developer), showing the full team's readiness and willingness to proceed contingent upon receiving an award from NYSERDA under PON 3841.
- An analysis showing that the fuel cell system design intent is forecasted to achieve 45% or greater annualized fuel use efficiency based on HHV.
- An analysis of the expected operation and performance of the proposed fuel cell 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.
- A copy of 12 consecutive months utility bills for the site
- A site plan showing the intended placement of the fuel cell system and affirming that it will be placed above the 500-year floodplain.
- An installation schedule showing delivery dates for major components and full operation within 15 months of the NYSERDA contract effective date.
- 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 fuel cell system will be fueled by pipeline natural gas.
- All proposals must include a completed and signed Part 1 SEQRA Short Environmental Assessment Form (Appendix G).

Applicants (and project sites, if different) must comply with all applicable:

- Federal, State and Local codes, rules, and regulations;
- Federal, State and Local permitting requirements; and
- Federal, State and Local emissions limits

Eligibility Note 1: Third Party Ownership

Under a third-party ownership scenario, contractors that meet the eligibility requirements included in this solicitation may be permitted to build, own and operate a fuel cell project at a customer's site if the customer pays the SBC surcharge on the electric meter behind-which the fuel cell system will be installed and if the contractual relationship between the customer and the third party clearly indicates that the entire incentive payment is being passed on to the customer.

D. Limitations:

Incentives will only be paid for systems installed as approved by NYSERDA. Any system modifications or equipment changes must be approved by NYSERDA in writing before a system is installed. Failure to get

NYSERDA approval on any and all modifications may result in revocation of the incentive reservation or nonpayment of the incentive.

The purpose of NYSERDA's CEF Fuel Cell 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 fuel cell 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 year of the meter to which the fuel cell system is interconnected. 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. Aggregation of meters for the purpose of justifying a system size is not permitted under this program.

III. Application Requirements

Processing of Applications

Applications (including any required attachments and supporting documentation) must be completed and submitted online at https://nyserda.seamlessdocs.com/f/FuelCell_proj_app. Only projects installed at sites where the electric customer pays the System Benefits Charge (SBC) on the electric bill for the meter behind-which the fuel cell system will be installed are eligible to receive funding through this program. In order to participate in PON 3841, applicants must comply with all program rules, procedures, and eligibility requirements, submit all required forms and supplemental documentation, and enter into a Standard Performance Agreement (SPA) with NYSERDA. Applicants must also adhere to the performance measurement requirements throughout the term specified in the SPA.

Be sure to have all required information with you before completing this application, since you will not be able to save partially completed applications. If you wish to have any information submitted as part of this application treated as proprietary or confidential, you must 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 and the associated regulations. However, NYSERDA cannot guarantee the confidentiality of any information submitted. Your written request must be uploaded in the Uploads Section, under Confidentiality.

You will receive a tracking number and confirmation on your screen to print or save after you have submitted the application, this will establish your position in the queue if and only if your submittal is full and complete. However, if your submittal is incomplete, it will be rejected, and you will need to re-submit the application in its entirety and upon doing so you will receive a new tracking number and position in the queue.

NYSERDA anticipates that there will be more requests for funds under PON 3841 than there are funds available, and therefore establishes the following rigid procedure for establishing and managing a queue of applicants.

a) An application will be entered into the rear of the queue when NYSERDA deems the application to be full and complete. Full and complete applications will be entered into the queue in the order that they are received as determined by fuel cell application number and the date and time stamp on the completed application. If an application had previously been deemed by NYSERDA to be deficient, the new application number and the date and time stamp of receipt of the supplemental application materials that resolve such deficiencies will be used to determine its order in the queue.

b) NYSERDA has an interest in promoting diversity of equipment in the program, therefore, no single original equipment manufacturer's (OEM) product line may be awarded more than 50% of the total program budget. NYSERDA will accept applications for fuel cell systems within each OEM's product line, regardless of vendor, until the total amount of funds requested for fuel cell systems within any single OEM's product line is equal to 50% of the total program budget. Once NYSERDA receives enough full and complete applications that the total amount of funds requested for fuel cell systems within any single OEM's product line equals 50% of the total program budget, NYSERDA will no longer accept applications involving equipment from that OEM.

c) If an application from within an OEM's product line, which is requesting up to 50% of the program budget, cannot proceed and withdraws from the program, NYSERDA will resume accepting applications from that OEM's product line up to the 50% program budget limit. However, funds from the withdrawn application will be allocated to the next eligible full and complete application(s) in the queue regardless of OEM.

d) When NYSERDA determines that an application is full and complete, and sufficient funds are available and have been set aside, NYSERDA will issue the applicant an SPA. The applicant will then have 30 days to return the signed SPA to NYSERDA.

NYSERDA will promptly review applications and supplemental application materials in the order that they are received, and applications deemed full and complete in their "as received" form will be entered into the queue in the order the application was received. Deficient or incomplete applications will not be accepted or entered into the queue. Deficient or incomplete applications that have been rejected will be invited to reapply to the program once they are full and complete (at which point the applicant will be placed at the rear of the queue).

Applicants should be "ready to go" when submitting their application so that the applicant will be capable of complying with the thirty (30) day requirement to submit a signed contract with NYSERDA for the installation of the fuel cell system as proposed.

State Environmental Quality Review Act (SEQRA)

NYSERDA is required under SEQRA to consider the environmental implications of all funded projects. All proposals must include a completed SEQRA Short Environmental Assessment Form (Appendix G).

Coordination of Public/Utility Funding

If a project to install a fuel cell 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.

IV. GENERAL CONDITIONS

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

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

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

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

Empire State Development
Division for Small Business

625 Broadway
Albany, NY 12207

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

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

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. 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 one week from the date of receipt of an application whether your application has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

Disclosure Requirement - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States,

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

V. Appendices:

Appendix A: Incentive Calculator

Appendix B: Sample Standard Performance Agreement

Appendix C: Performance Measurement Requirements

Appendix D: Project Installation Report Requirements

Appendix E: List of Eligible Fuel Cell Modules by Manufacturer Make and Model

Appendix F: Instructions to Manufacturers of Fuel Cells – How to Request Addition of Your Equipment to the List of Eligible Fuel Cells

Appendix G: SEQRA Short Environmental Assessment Form

VI Attachments:

Attachment A: Proposal Checklist

Attachment B: Disclosure of Prior Findings of Non-Responsibility



ANDREW M. CUOMO
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

Strategic Energy Management Pilot for Municipal Water Resource Recovery Facilities Program Opportunity Notice (PON) 3844

**Applications due May 24, 2018*
by 5:00 PM Eastern Time**

Program Summary: This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON 3844) seeks applications from New York State Municipalities, Sewer Districts, and Sewer Authorities interested in having the management and staff of their water resource recovery facilities (WRRFs) participate in the first group (Cohort) of a Strategic Energy Management (SEM) Pilot. SEM is a holistic approach to managing energy use, focusing both on behavioral and operational changes, that results in continuously improving energy performance and long-term energy, cost, and carbon savings. The training, coaching, on-site activities, and peer-to-peer knowledge sharing focuses on providing WRRF management and staff with tools necessary to integrate continuous improvement into core practices.

NYSERDA has developed a SEM Pilot for municipal WRRF management and staff with the goal of expanding awareness of the benefits of SEM to, and subsequently, increasing penetration of SEM in, the WRRF sector. As such, Participants must be willing to share results and lessons learned both internally and externally.

PON 3844 is soliciting Participants for Cohort I of the SEM Pilot for WRRFs, which is offered to the management and staff of WRRFs that spend \$200,000 or more annually on energy (all fuels) and that contribute to the System Benefits Charge (SBC) on their electric utility bills. NYSERDA will provide 100% of the cost-share for participating in Cohort I.

Application Submission: Electronic submission is preferable. Applicants may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. For ease of identification, all electronic files must be named using the applicant's facility name in the title of the document. NYSERDA will also accept applications by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit an application (electronic or paper submission), click the link for the Application Instructions and Portal Training Guide within the WRRF Strategic Energy Management: Pilot Solicitation (PON 3844) in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Kathleen O'Connor (Designated Contact) at (518) 862-1090, ext. 3422 or by e-mail kathleen.oconnor@nyserda.ny.gov or Kathleen Dooley (Designated Contact) at (518) 862-1090, ext. 3475 or by e-mail kathleen.dooley@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or nancy.marucci@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract. .

*** All applications must be received by 5pm Eastern Standard Time on the date noted above. Late, faxed, or emailed applications will not be accepted.** Incomplete applications may be subject to disqualification. It is the applicant's responsibility to ensure that all pages have been included in the application. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you

should allot at least 60 minutes to enter/submit applications. The electronic application system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>.

I. INTRODUCTION

This solicitation is divided into the following components:

Section I: Introduction
Section II: Definitions
Section III: Program Description
Section IV: Eligibility
Section V: Application Requirements
Section VI: Application Evaluation
Section VII: General Considerations
Section VIII: Attachments

The goal of the SEM Pilot for WRRFs is to prove that when municipal WRRFs integrate SEM into core practices, substantial, long-term energy, cost, and carbon savings are achieved. Preliminary results from a similar initiative in another state, suggest strong savings for WRRFs; ***overall the group is on pace to save 7.8% (5,000,000 kWh) annually on non-capital (operations, maintenance) projects and several WRRFs are saving in excess of 14%.***

The purpose of this PON is to obtain qualified Participants for Cohort I of the SEM Pilot for WRRFs. Participants will gain access to training, coaching, site-specific activities and materials, and peer-to-peer knowledge sharing including:

- an energy assessment;
- an energy map/model;
- a list of identified energy savings opportunities and an implementation plan;
- a plan for wide-spread employee engagement;
- long term energy savings goals; and
- a method for systematic measurement and reporting of energy performance.

Data gathered from the SEM Pilot for WRRFs will expand awareness of the benefits of SEM, and subsequently, increase penetration of SEM in the WRRF sector. Participants are required to share challenges, success stories, and best practices to facilitate this sector transformation activity.

NYSERDA will provide 100% of the cost-share for participating in Cohort I of the SEM Pilot for WRRFs; and is also pursuing Professional Development Hours/Continuing Education Units (PDH/CEU) accreditation for participating WRRF management and staff. NYSERDA reserves the right to determine the number of Participants in Cohort I based on applications received.

II. DEFINITIONS

Cohort I: Group of management and staff participating in the first phase of the SEM Pilot for WRRFs.

Energy Champion: The WRRF staff person designated as responsible for attending all training sessions, working directly with the Energy Coach, disseminating information to the Energy Team and other facility staff, and leading implementation of SEM at the WRRF.

Energy Coach: The team of wastewater experts under contract with NYSERDA to provide SEM training and technical assistance to Cohort I Participants throughout the SEM Pilot of WRRFs. At the time of this solicitation, Vermont Energy Investment Corporation (VEIC) and Cascade Energy are under contract with NYSERDA to perform Energy Coaching duties.

Energy Team: A group of WRRF management and staff with diverse knowledge of WRRF processes and practices; and authorized to make operational changes as a normal part of their work. A strategically-selected and enthusiastic team is critical to the success of SEM. Ideally, the Representative for the Municipality/Sewer District/Sewer Authority will also participate as a member of the Energy Team.

Participants: The management and staff of the WRRF selected through this PON to participate in Cohort I of the SEM Pilot for WRRFs. If desired, a consultant working with WRRF management and staff may also participate in the training sessions.

SEM Pilot for WRRFs: PON 3844 is soliciting Participants for Cohort I of the SEM Pilot for WRRFs. It is anticipated that the Pilot will consist of two Cohorts.

Representative for the Municipality/Sewer District/Sewer Authority: An employee whose responsibilities may include, but are not limited to, supervising, planning, directing, and administering public projects undertaken by the Municipality, Sewer District, or Sewer Authority, such as a Public Works Commissioner, Sewer District Executive Director, Sewer Authority Executive Director, etc.

III. PROGRAM DESCRIPTION

The SEM Pilot for WRRFs is a structured series of NYSERDA-funded 'learn-by-doing' training sessions that focus on behavioral and operational changes; and enable WRRF management and staff to reduce energy intensity over time. Participants will learn to identify areas for improvement, drive managerial and staff behavioral changes with respect to energy, and develop the mechanisms to track and evaluate energy optimization efforts. Over a period of 12-month, Cohort I Participants will take part in an individual on-site kick-off meeting; five workshops; a webinar; and two additional individual on-site visits. All activities will be led by the Energy Coach.

The curriculum and schedule are outlined below. Workshops will be held either at Participants' facilities, if Participants are interested in hosting a workshop, or in meeting spaces convenient to Cohort members (to the extent possible). Travel to workshops may be required. Individual trainings will be held on-site at each WRRF. The Energy Champion is required to attend all training sessions; members of the Energy Team are strongly encouraged to attend as well.

Month	Training Session	Session Type	Objective
1 - 2	Site Visit #1 - On-site Kick-off and Baseline Energy Management Assessment EMA	Individual Training	Conduct baseline EMA at each WRRF, a facilitated process to benchmark current energy management practices. EMAs are focused on organizational systems rather than engineered systems.
3	Workshop #1 - Establishing a SEM Program	Group Workshop	Introduction to SEM and how to get started at your WRRF. The key take-away from this workshop is that quick-wins are needed to jumpstart organizational change and leadership buy-in.
4	Workshop #2 - Saving Energy without Spending Money	Group Workshop	Learn common places to find energy savings within facility without capital investment; and develop technical opportunities using straight-forward concepts, processes, and tools.
5	Webinar #1 - Metering Toolkit	Webinar	Develop skillset needed to use data metering hardware provided for duration of Pilot to identify and vet energy-saving opportunities.
5 - 7	Site Visit #2 - Treasure Hunt	Individual Training	Guided on-site training at each WRRF to identify quick-wins, as well as a detailed list of targeted and actionable energy-savings opportunities.
8	Workshop #3 – Gaining Momentum and Tracking Energy Performance	Group Workshop	Learn to quantify the value achieved by quick-wins using customized Energy Intensity Models.
9	Workshop #4 – Cementing Action, Engaging	Group Workshop	Learn about new and advanced technologies; strategies for incorporating energy efficiency into capital upgrades; and

	Employees, and Capital Planning		strategies for changing culture through employee engagement and recognition.
10 - 11	Site Visit #3 – Technical Coaching and Follow-up EMA	Individual Training	Uncover strengths and weaknesses in current energy management practices, including organizational barriers, and measure EMA progress against original baseline. Learn to motivate leadership to overcome barriers.
12	Workshop #5 – Presenting Accomplishments	Group Workshop	Participate in collaborative exercises to share accomplishments; learn to recognize and celebrate accomplishments; and generate enthusiasm for continued focus on energy improvements. The Energy Coach will work with each Energy Champion to prepare a presentation of their SEM “story”.

Program Deliverables:

For the 12-month duration of Cohort I, the Energy Champion shall:

- Participate in all training sessions;
- Prepare and submit monthly deliverables as assigned during training sessions including:
 - o Energy Management Assessments;
 - o Document describing facility goals and metrics;
 - o Updated Energy Intensity Model;
 - o Document describing energy drivers and energy savings opportunities; and
 - o Document describing implemented employee engagement activities.
- Prepare and submit annual energy savings report documenting results from efficiency projects; and
- Participate in peer-to-peer sharing with other Cohort I members.

Following completion of Cohort I Training Sessions, the Energy Champion shall:

- Over 12 months, on a bi-monthly basis, participate in teleconference with NYSERDA and the Energy Coach to discuss the WRRF’s SEM progress and maintenance of the WRRF’s Energy Intensity Model;
- Over 12 months, on a quarterly basis, maintain the WRRF’s Opportunity Register, which describes energy savings resulting from implemented energy projects, and submit updates to NYSERDA;
- Support development of a case study, including savings metrics; and
- As needed, share information with NYSERDA for use in evaluating the SEM Pilot for WRRFs initiative.

IV. ELIGIBILITY

Eligible Cohort I Participants include management and staff of WRRFs associated with New York State Municipalities, Sewer Districts, and Sewer Authorities that spend \$200,000 or more annually on energy (all fuels) and that contribute to the System Benefits Charge (SBC) on their electric utility bills. In addition, Energy Champions must have the ability to attend all training sessions, which may include travel to workshops.

V. APPLICATION REQUIREMENTS

A complete Strategic Energy Management Application package must include the following items:

1. Completed Strategic Energy Management Pilot Participation Application (see Attachment A)
2. Letter of Commitment from Municipal/Sewer Authority/Sewer District Representative (also see Attachment A)
3. Current Electric Utility Bill documenting payment into SBC
4. Completed Strategic Energy Management Participant Agreement (see Attachment B)

Please Note: The application package can be submitted on-line via the following link:

https://portal.nyserra.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt000000Fn2NfAAJ. Please upload the Completed Strategic Energy Management Pilot Participation Application, the Letter of Commitment, and the Current Electric Utility Bill **as a single document** (i.e., scanned or pdf format) when prompted to upload “Attachment A”. (You will not be allowed to upload these items individually.) Please upload the Completed Strategic Energy Management Participant Agreement when prompted to upload “Attachment B”.

VI. APPLICATION EVALUATION

The goal of the evaluation process is to identify the Municipalities, Sewer Authorities, Sewer Districts that are most qualified and positioned for success in implementing SEM at their WRRFs. Applications will be reviewed every three weeks. Applications that meet the application requirements will be reviewed by a Scoring Committee using the Evaluation Criteria identified below; achieving at least 70% of the Evaluation Criteria is required for WRRF management and staff to be considered for inclusion in Cohort I. NYSERDA will notify each WRRF of the results of the review no later than six weeks after the application due date.

Commitment & Energy Efficiency Savings Potential

- Municipality/Sewer Authority/Sewer District demonstrates strong commitment to support pursuing long-term strategic energy management at their WRRF, including devoting staff/management labor to serving as Energy Champion and serving on Energy Team
- Municipality/Sewer Authority/Sewer District demonstrates commitment to supporting fast-track implementation of no- and low-cost energy efficiency improvements at their WRRF
- Application demonstrates high energy usage and/or costs associated with the WRRF
- Municipality/Sewer Authority/Sewer District demonstrates commitment to investing capital in energy efficiency improvements at their WRRF
- Municipality/Sewer Authority/Sewer District is willing to host a Cohort meeting at their WRRF

Knowledge & Culture

- Municipality/Sewer Authority/Sewer District demonstrates energy efficiency competency through the successful implementation of previous energy efficiency projects and activities at their WRRF
- Municipality/Sewer Authority/Sewer District tracks energy data at their WRRF
- Municipality/Sewer Authority/Sewer District demonstrates enthusiasm for behavioral and organizational change at their WRRF resulting from strategic energy management
- Municipality/Sewer Authority/Sewer District has internal energy-focused initiatives (e.g. energy policy, energy goals, energy plan) and/or has participated/is participating in external energy-focused initiatives (e.g. Better Plants)
- Municipality/Sewer Authority/Sewer District has an internal training structure in place at their WRRF
- Municipality/Sewer Authority/Sewer District has a practice of celebrating success

Programmatic Considerations: NYSERDA may consider the following Program Policy Factors in making Cohort I selection decisions:

- Location of facility
- Municipality, Sewer Authority, Sewer District has more than one location in NYS

Accepted Applications: WRRFs selected for inclusion in Cohort I will be notified by NYSERDA in approximately six weeks after the application due date. NYSERDA will co-sign the Participation Agreement (Attachment B) and return the Agreement to the Participant for their files.

Denied Applications: WRRFs not selected for inclusion in Cohort I will also be notified by NYSERDA in approximately six weeks after the application due date; and may request a de-briefing. If a second Cohort is offered in the future, these applicants may apply to participate in Cohort II.

VII. GENERAL CONSIDERATIONS

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

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

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

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

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

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

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

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

Contract Award - NYSEDA anticipates making multiple awards under this solicitation. NYSEDA anticipates a contract duration of 12 months, unless NYSEDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each application should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will enter into Strategic Energy Management Participation Agreement with successful applicants. NYSEDA 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. NYSEDA may decline to enter into a Participant Agreement with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSEDA will post to the web, the following language must be included. NYSEDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel,

etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

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

VIII. ATTACHMENTS

Attachment A: Strategic Energy Management Participation Application with Letter of Commitment Requirements
Attachment B: Strategic Energy Management Participation Agreement



Agriculture Energy Audit Program

Program Opportunity Notice (PON) 3846

\$ 3,500,000 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-serve basis until December 31, 2025
by 5:00 PM Eastern Time or until funds are exhausted*

The NYSERDA Agriculture Energy Audit Program offers free energy audits to help farms identify opportunities to reduce energy costs. Audit reports will include site-specific recommendations for energy efficiency measures. Eligible farms include, but are not limited to, dairies, orchards, greenhouses, vegetables, vineyards, grain, and poultry/egg.

Application Submission:

Applications may be completed and submitted online (<https://www.nyserda.ny.gov/All-Programs/Programs/Agriculture-Energy-Audit>) or applicants may send one (1) completed and signed application form (Attachment A) to:

NYSERDA
Attn: Agriculture Energy Audit Program Administrator
17 Columbia Circle
Albany, NY 12203-6399

All technical questions should be directed to: Jessica Zweig, 518-862-1090 ext. 3346 or Jessica.Zweig@nyserda.ny.gov

All application requests and application assistance questions should be directed to: aep@nyserda.gov or NYSERDA's contractor – EnSave, Inc. at 800-732-1399

All contractual questions concerning this solicitation should be directed to: Nancy Marucci at (518) 862-1090, ext. 3335 or Nancy.Marucci@nyserda.ny.gov

* All applications must be received by 5:00 PM Eastern Time on the date noted above. Late 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 the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

New York State is a leader in the production of several agriculture commodities and contributes \$5.4 billion annually to the state's economy. The agriculture sector has approximately 7.2 million acres of farmland and 35,000 farms, roughly one-quarter of the State's land area. Energy efficiency projects represent a cost saving opportunity and farm energy audits assist with identifying what improvements could lower utility expenses. The goal of this program is to assist farms in becoming more energy efficient and, therefore, reducing operating expenses to maintain profitability and long-term farm viability.

II. Program Requirements

Eligible Applicants:

- Applicants must be a farm
 - Must meet the U.S. Department of Agriculture (USDA) farm definition: "any place from which \$1,000 or more of agricultural products were produced and sold, or normally would have been sold, during a given year"
- Applicants must be customers of New York State investor-owned utilities and contribute to the electric System Benefits Charge (SBC)
 - Please check electric bill for this information
 - Up to 12 months of electric bills may be requested to verify the annual SBC contribution
 - Applicants that rent or lease space must be the entity responsible for paying the electric bill
- Applicants may be able to receive a Comprehensive Audit not more frequent than every two years
- Farm residences are not eligible for an audit under this PON

Energy Audit Options:

A farm can request the level of energy audit that best fits their needs. NYSERDA will assign a Flexible Technical Assistance (FlexTech) Program Consultant to visit your farm and perform an energy audit at no cost to the farm. If you need assistance with determining the appropriate audit level, please call 800-732-1399.

Level	Audit Activities	Type of Report that the Farm Receives
Comprehensive	Detailed energy audit	Energy audit report with calculated evaluations of appropriate energy efficiency measures including simple payback; meets ANSI/ASABE S612 standards
Targeted	Energy audit focused on specific systems or energy efficiency measures or renewable energy	System-specific energy analysis report

Items not eligible for study under the Targeted level:

- Audits focused only on demand response/peak load management
- Detailed engineering design
- Lighting only audits and analysis
- Power quality, power factor, and power conditioning audits
- Utility billing error analysis
- Audits focused only on equipment operation and maintenance activities
- Audits focused only on compliance with mandates, laws, and orders where there is no potential for energy savings

III. Application Requirements

Please complete the Application found in Attachment A or apply online at:

<https://www.nyserda.ny.gov/All-Programs/Programs/Agriculture-Energy-Audit>

Applications will be processed in the order in which they are received. All applications will be reviewed for eligibility and accepted or rejected at NYSERDA's discretion. The review for eligibility includes confirming the farms pays electric SBC on the enterprise to be audited and meets the USDA farm definition. Eligibility of farms applying for a Targeted Audit and have previously received a Comprehensive Audit under the Agriculture Energy Audit Program will be determined on a case by case basis.

NYSERDA expects to notify applicants in approximately two weeks from the receipt of an application whether the application has been accepted. An application acceptance letter will be mailed to the applicant upon acceptance, noting the FlexTech Consultant assigned to the audit. The FlexTech Consultant will contact the applicant to arrange a site visit to collect the pertinent information. The Consultant will produce the audit report and NYSERDA will send the audit report to the applicant. The typical time frame from site visit to audit report delivery is three months for the Comprehensive Audit and five months for the Targeted Audit. NYSERDA will pay for the Consultant fees directly to the Consultant.

IV. General Conditions

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

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

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

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

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

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

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

Contract Award - NYSERDA may award Purchase Order(s) to a FlexTech Consultant based on initial applications without discussion or following limited discussion or negotiations. NYSERDA may request additional data or material to support applications. NYSERDA will notify applicants whether the application has been selected to receive an audit. 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 two weeks from the receipt of an application whether your application has been selected to receive an award.

NYSERDA may notify the customer's utility or any federal entity of participation in the Agriculture Energy Audit Program in order to facilitate information sharing about potential implementation incentives available.

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

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

V. Attachments

Attachment A – Application

**Ignition Grants
Program Opportunity Notice (PON) 3871
\$3,000,000 Available**

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

Proposals accepted through September 30, 2019 by 5:00 PM Eastern Time or until all funds are committed*

Program Summary: This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3871, Ignition Grants, will consider proposals from client companies of NYSERDA-sponsored clean energy incubators that require seed capital to achieve technical or commercialization objectives which will help achieve near-term outcomes. The aim of the Ignition Grants is to best position the client companies working with NYSERDA-sponsored incubators to attract and secure sufficient follow-on capital to commercialize clean energy innovations and accelerate their time to market. This solicitation is open only to companies that are active current clients of NYSERDA-sponsored incubators. NYSERDA's strategy for the Ignition Grants initiative is to make highly targeted, timely seed investments in incubator client companies that will directly impact near-term outcomes for these ventures, such as raising investment capital, securing corporate/strategic partnerships, and engaging potential customers/partners. Proposals will be evaluated on the basis of project scope, demonstration of traction with key stakeholders (investors, corporate/strategic partners, customers, service providers, and leading venture development organizations), and identification and attainment of critical near-term outcome(s) shortly after NYSERDA makes its investment in the company. Up to \$3,000,000 in NYSERDA funding is available. The maximum initial award per Ignition Grant is \$100,000. The awards will be structured as non-dilutive, milestone-based grants with no recoupment. All, some, or none, of the available funds may be awarded through PON 3871. NYSERDA reserves the right to add or reduce time and/or funding to awarded contracts.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Michael Shimazu (Designated Contact) at (518) 862-1090, ext. 3478 or by e-mail michael.shimazu@nyserda.ny.gov or Nicholas Querques (Designated Contact) at (518) 862-1090, ext. 3086 or by e-mail nicholas.querques@nyserda.ny.gov (for technical questions). (Please list at least two designated contacts for your solicitation.) If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or Venice.Forbes@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

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

I. INTRODUCTION

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

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. The incubators, which span from Buffalo to Long Island, have assisted 166 client companies and graduates have raised over \$320 million in private investment, \$207 million in project finance capital, and nearly \$100 million of non-NYSERDA grant funding to date, while generating over 1,085 jobs and bringing dozens of new clean energy products and solutions to the market.

As a result of its experience supporting clean energy incubators for nearly a decade, NYSERDA encourages most early-stage companies that are commercializing clean energy technologies to work with incubators and accelerators. In order to augment its long-standing support for early-stage clean energy ventures, NYSERDA is now providing Ignition Grants to better serve the client companies working with its incubators. The Ignition Grants initiative looks to address a long-standing market gap of seed funding for ventures in the energy space that have yet to raise significant capital from institutional or corporate/strategic investors.

The broad purpose 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 aims of Ignition Grants include:

- Accelerating the time to market for clean energy incubator client companies by offering timely, highly targeted infusions of capital to highly qualified companies.
- Evolving the operations and programming of NYSERDA-sponsored incubators so they are now able to provide access to seed capital to better address the changing needs of client companies.
- Positioning client companies working with NYSERDA-sponsored incubators to attract and secure sufficient follow-on capital to commercialize clean energy technologies and bring them to market.

The subsequent sections of this PON are as follows:

- II. Program Requirements (page 2)
- III. Proposal Requirements (page 5)
- IV. Proposal Evaluation (page 7)
- V. General Conditions (page 8)
- VI. Attachments (page 10)

II. PROGRAM REQUIREMENTS

Eligibility and Proposer Requirements

Proposers must be active current client companies in good-standing at one of the NYSERDA-sponsored incubators across New York State. The incubators, which were awarded under Rounds 1 and 2 of NYSERDA PON 3413 Clean Energy Incubators, include:

- ACRE – NYU Tandon School of Engineering (New York City)
 - <http://ufl.nyc/acre/>
- Clean Energy Business Incubator Program – Stony Brook University (Long Island)
 - <http://www.cebip.org>
- Clean Tech Center – CenterState CEO's The Tech Garden (Central New York)
 - <http://www.centerstateceo.com/about-us/partners-programs/clean-tech-center>
- Emerging Cleantech Opportunity Incubator – Launch NY (Western New York)

- <http://www.launchny.org>
- Southern Tier Clean Energy Incubator – Binghamton University (Southern Tier)
 - <https://southerntierincubator.com/clean-energy-incubator/>
- Venture Creations Clean Energy Incubator – Rochester Institute of Technology (Finger Lakes)
 - <http://www.rit.edu/research/incubator/>

Each proposer must include a signed letter from the director of its incubator to verify that it is in good standing and has reviewed the proposed Ignition Grant project with incubator staff. Incubator verification/approval for the proposed project is required as part of Attachment A.

Technology Eligibility

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.

Available Funding, Awards, Cost Sharing, and Limitations

Up to \$3,000,000 of NYSERDA funding is available through this PON. The maximum initial award per Ignition Grant is \$100,000. All, some, or none, of the available funds may be awarded through PON 3871. NYSERDA reserves the right to add or reduce time and/or funding to awarded contracts.

The awards will be structured as non-dilutive grants with no recoupment obligation to the recipient company. Award proceeds will be paid out on the basis of negotiated milestones. A final payment may be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment.

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. Cost share is valued by NYSERDA not only as a sharing of its financial risk, but also as a tangible commitment on the part of the proposer to the project's success ("skin in the game"). Consequently, cash from the proposer is the preferred form of cost share.

Proposers may submit no more than two total proposals for Ignition Grants over a twelve-month period. A single incubator client that meets all eligibility criteria may be selected for up to three separate Ignition Grant awards for an absolute maximum of \$300,000 per company over the course of this solicitation.

Rolling Acceptance of Proposals

Proposals may be submitted to NYSERDA at any time during the open period of this solicitation. Proposals determined compliant with application procedures and responsive to the solicitation will be subject to NYSERDA review by internal and/or external subject matter experts in accordance with the evaluation criteria no less frequently than monthly. Only the most meritorious proposals will receive an Ignition Grant award. Unsuccessful proposals may be revised and resubmitted, addressing NYSERDA's assessment of strengths and weaknesses.

Exceptions to Terms and Conditions

In order to ensure NYSERDA is timely with the procurement and contracting of Ignition Grants, NYSERDA will not allow any exceptions to NYSERDA's standard terms and conditions in the Sample Agreement. All proposers should review these standard terms and conditions in the Sample Agreement (Attachment B) in detail before deciding to move forward with a proposal to ensure they do not have any exceptions with them. NYSERDA will terminate contract negotiations with any proposers selected for funding that attempt to retroactively negotiate the terms and conditions during the contracting process.

Range/Scope of Services

Proposers are asked to submit proposals focused on milestone-based work addressing critical near-term technical or commercialization objectives that will directly impact near-term outcomes for their ventures, including but not limited to, raising investment capital, securing corporate/strategic partnerships, and engaging potential customers/partners. 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 so long as they are active clients of a NYSERDA-sponsored incubator. To be selected for funding, proposals must demonstrate a strong likelihood that the subject work will accomplish specific objectives that will lead directly to beneficial near-term outcomes with investors, corporate/strategic partners, customers, and/or other relevant stakeholders.

Examples of technical or commercialization activities that could be covered by Ignition Grants may include, but are not limited to work related to the following:

- Board of director development
- Contracts development
- Corporate governance
- Development of financial offering documents
- Due diligence and investment readiness
- Entity formation and general corporate legal work
- Financial auditing, accounting, budgeting and forecasting
- Human resources and staff development
- Insurance and risk mitigation
- Logistics and supply chain
- Market and competitive analysis
- Patents and intellectual property
- Product testing and certification
- Prototype testing and validation
- Regulatory landscape analysis
- Sales and business development

Schedule and Teaming

Successful projects are expected to begin within three months of proposal submission date. The project schedule for proposed projects should not exceed twelve months and should highlight tangible milestones that can provide the basis for payments under the grant.

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 investors, corporate/strategic partners, customers, service providers, and/or leading venture development organizations.

Letters of Commitment or Interest

If a proposer relies 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, it must include a letter from that organization describing its planned participation. It should 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 may not be solicited from NYSERDA personnel.

Potential Conflicts of Interest

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

Other Considerations

In addition, proposers should note that:

- A proposal may be considered non-responsive if it fails to comply with the requirements above, the Proposal Requirements of Section III, or the General Conditions of Section V.
- Prior to an award being made, potential awardees may be required to demonstrate the following via formal documentation: a strong track record; access to financial resources sufficient to perform the proposed work; technical experience and adequate facilities (or the ability to access them); and the ability to qualify for an award under applicable laws and regulations.
- Performance of awarded projects will be assessed on a continuous basis in order to ensure the contractor is meeting its commitments and achieving the milestones laid out in the Statement of Work.

III. PROPOSAL REQUIREMENTS

The proposer's goal should be to concisely present the information needed to fully address the Proposal Evaluation criteria in Section IV. Proposals that grossly exceed the page limits or fail to follow the format guidelines provided in this section 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 Narrative

Answer all questions listed in this section and include them in a document as Attachment A of the submission. 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. Page counts indicated below should be regarded as guidance. Proposers should also review the Proposal Evaluation section below and endeavor to provide information in the proposal narrative that will facilitate the application of the evaluation criteria.

1. Background, Opportunity, and Needs Assessment – Discuss the setting and rationale for the proposed project. (Three to five pages)

- Describe the company, its business, its current state of development, and its critical path to self-sufficiency.
- Describe the near-term outcome(s) that the company seeks to attain as the result of work funded by an Ignition Grant. Examples might include closing of a capital raise, joint development agreement, strategic partnership, first customer order, or other critical-path transaction. Explain why this outcome is of near-term strategic importance, and indicate what the company would do if it were not attained.
- Describe the objectives of the proposed work and explain how they lead directly to the attainment of the outcomes. To the extent that this involves inducing action by a counterparty (e.g., investor, corporate/strategic partner, customer/end-user, etc.) support this explanation with evidence that the counterparty will actually take the desired action upon accomplishment of the project objectives. A full explanation would include a thorough description of the company's prior interactions with the counterparty, especially with respect to the importance of the project objectives in advancing the relationship.
- Explain the other steps taken to prepare for the outcome, besides the proposed project. For example if the desired outcome is a capital raise, explain what the company has done to make itself ready for this transaction, including but not limited to, customer validation, securing intellectual property, preparing due diligence documents, etc.

2. Team Qualifications – Identify and describe the team, highlighting areas of strength and its completeness to execute the project, pursue and achieve the desired outcomes, and rapidly advance the business once these outcomes are attained. (One to two pages, plus one to two pages per biography).

- Please provide a biography of company key executives responsible for developing the business model and executing the business plan. Highlight any experience in the clean energy industry and in the segments that the company is targeting.

- Provide third-party substantiation of the strength of the management team, for example, any awards or endorsements, investment in the company by institutional or strategic investors, or successful exits.
- Identify any gaps in the team and plans to fill them.
- Indicate the rates of compensation of the individuals responsible for executing the scope of work.

3. Statement of Work, Budget, and Cost Sharing – Provide a description of tasks to which Ignition Grant proceeds would be put. This will form the basis of a contractual scope of work for awarded projects. Consequently, a cleanly presented and clearly described statement of work will expedite contracting if a grant is awarded. (One-half to one full page per task)

- Describe each task that would be financially supported by any award of an Ignition Grant. Clearly relate how these tasks will fulfill the objectives of the proposed work described in section 1 of the proposal narrative.
- Indicate the total budget for each task. Break down the amount of NYSERDA funding that will be applied to each task and the amount of cost-sharing that will be applied. Indicate the source of the cost-sharing contribution on a task-by-task basis. If such contribution is "in-kind", describe it and the basis for attaching a cash value to it.
- Any NYSERDA funding awarded under this solicitation will be distributed on the basis of milestones that will be negotiated post-award. Please suggest appropriate verifiable milestones that signify meaningful progress and might be used to trigger distribution of funds. Often, such milestones will be appropriate upon completion of tasks.
- Cost Sharing - The proposal should show non-NYSERDA funding of at least 25 % of the total cost of the project. Put another way, non-NYSERDA funding must be at least one-third of the value of the NYSERDA Ignition Grant. Cost sharing can be from the proposer, other team members, and other public 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. No expenses that have already been incurred may be claimed as cost sharing. Show the cost-sharing plan in the following format (expand table as needed):

	Cash	In-Kind Contribution	Total
NYSERDA	\$	\$	\$
Proposer	\$	\$	\$
Others (list individually)	\$	\$	\$
Total	\$	\$	\$

4. Letters of Support – Please upload/attach letters of support.

- At a minimum a letter from one of the NYSERDA-sponsored clean energy incubators is required. This letter must verify the proposers current good-standing as an active incubator client. The letter may also communicate the incubator director's endorsement of the company or the proposed project.
- Letters of support or commitment by any partners in the proposed project are also required. An example might be a letter from a service provider confirming its intent to work with the company as proposed.
- If available, letters from any counterparties indicating their intent to move forward to accomplish proposed outcomes should be included.

State Finance Law

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

Annual Metrics Reports

If awarded, the proposer will be required to submit to their respective incubator management and/or NYSERDA's Project Manager on a biannual basis, a prepared analysis and summary of the following metrics:

- 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.

IV. PROPOSAL EVALUATION

Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee and will be scored 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 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 will eliminate the proposal from further consideration. Does the proposal:

- Address all components of the proposal narrative?
- Include a letter of support from a NYSERDA-sponsored clean energy incubator that verifies the good-standing of the proposer as a current incubator client?
- Provide the required level of cost-sharing?
- Accept standard contract terms?

Evaluation Criteria in Order of Importance

1. Outcomes and Benefits

- Likelihood that realization of the project objectives will lead to attainment of targeted beneficial outcomes for the proposer.
- Importance of the targeted outcomes to the progress and advancement of the proposer.
- Importance of the targeted outcomes to energy, environmental and economic impacts in New York State.

2. Team

- Capability of the team to execute the project and realize project objectives.
- Capability of the team to drive attainment of beneficial outcomes.
- Quality of service providers or other partners.
- Completeness of the team for its stage of development.

3. Scope of Work and Budget

- Concentration of work scope on realizing project objectives and targeted outcomes.
- Completeness of work scope and sufficiency to realize project objectives.
- Appropriateness of work scope in the context of targeted outcomes and other steps taken by the proposer to pursue these outcomes.
- Reasonableness of task-level budgets.
- Level of commitment and value of cost share.

Program Policy Factors

NYSERDA reserves the right to accept or reject proposals – or adjust award amounts – based on the following Program Policy Factors:

- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals, including State Energy Plan and Reforming the Energy Vision goals.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.
- Geographic and institutional diversity of awarded projects.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- Availability of funding and time to solicitation close.
- Level of prior and current financial commitment to the proposer under this PON.

V. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

Contract Award - NYSEDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions is required for this PON. NYSEDA expects to notify proposers in approximately four weeks from proposal submission date whether your proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSEDA will post to the web, the following language must be included. NYSEDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSEDA's Accessibility Requirements](#).

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 exceptions taken to the standard terms and conditions of the Sample Agreement. NYSEDA reserves the right to disqualify

proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

VI. ATTACHMENTS

The following attachments are required for each submitted proposal to be considered complete (no template provided):

- Attachment A - Proposal Narrative, including Support Letter(s) and Incubator Approval

In addition, the following attachments are provided for reference:

- Attachment B - Sample Agreement



Cleantech Accelerator

Program Opportunity Notice (PON) 3875

\$10,000,000 Available

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

Proposals Due: July 26, 2018 by 5:00 PM Eastern Time*

Program Summary: This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3875, Cleantech Accelerator, seeks proposals from organizations interested in launching and managing a new statewide Cleantech Accelerator in New York. This PON is a continuation of NYSERDA's successful Proof-of-Concept Center (POCC) program. The goal of the POCCs, and now the Cleantech Accelerator, is to catalyze researchers and practitioners to transition cutting-edge clean energy enabling innovation from the laboratory to the proof of product/market fit. The Cleantech Accelerator will make early-stage investments and provide supporting services to enable the development and validation of promising clean energy technologies that are, or will become, the platform for startup companies located in New York State. NYSERDA's strategy is to create long lasting programs that will catalyze ideation around clean energy, mentor and support the formation of teams and startups for problem/solution fit and provide targeted programming to help companies achieve product/market fit and then accelerate their path to market. Through this competitive solicitation, NYSERDA is seeking proposals from venture development organizations to launch and manage a new Cleantech Accelerator, which will deliver POCC programs to teams across the entire state. It is anticipated that an additional competitive solicitation will be issued in the future for academic institution-based POCCs. Up to \$10,000,000 of NYSERDA funding is available through this PON. NYSERDA anticipates making one or more awards as a result of this solicitation. Awarded contract(s) will be for an initial term of five years with one, one-year option to renew. All, some, or none, of the available funds may be awarded through PON 3875. NYSERDA reserves the right to add or reduce time and/or funding to awarded contract(s).

Informational Webinar: NYSERDA plans to conduct an informational webinar covering PON 3875 Cleantech Accelerator on June 20, 2018 from 10:00am to 11:00am. NYSERDA staff will present information about the Cleantech Accelerator initiative and answer questions relating to program applicability, selection criteria, and any other relevant topics. Prior registration for the informational webinar is available, but not required. Participants may join up to 30 minutes beforehand. Instructions to participate are as follows:

- Step 1 – Join the webinar to view presentation slides and submit questions
 - From a web browser to go <https://NYSERDA-events.webex.com>
 - Event name: PON 3875 Cleantech Accelerator
 - Password: Cleantech
 - Click REGISTER then enter your name, email, and phone number and click SUBMIT
 - You will be emailed a confirmation with information for entering the meeting at the appointed time

- Step 2 – Join the audio conference
 - Dial (415) 655-0001
 - Enter passcode 665-988-596

Once in the webinar and it has begun, enter your unique identifier # followed by the # key. This optional step will allow you to “raise your hand” to ask questions during the webinar by linking your phone and internet presence.

Questions addressed during the webinar will be posted to the NYSERDA website via the Frequently Asked Questions (FAQs) section on the Funding Opportunities page for PON 3875 Cleantech Accelerator by close of business June 27, 2018. Proposers who are unable to attend the webinar should use these FAQs as a resource.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link “[Application Instructions and Portal Training Guide](https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx) [PDF]” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Jeff Peterson (Designated Contact) at (518) 862-1090, ext. 3288 or by e-mail jeff.peterson@nyserda.ny.gov or Nicholas Querques (Designated Contact) at (518) 862-1090, ext. 3086 or by e-mail nicholas.querques@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or Venice.Forbes@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

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

I. INTRODUCTION

The Cleantech Accelerator initiative is a continuation of the NYSERDA Proof-of-Concept Center (POCC) program. The focus of the POCC program is to accelerate the commercialization of clean energy-related technologies approaching the “proof-of-concept” stage and the development and implementation of a full spectrum of proactive programs to link researchers, investors, entrepreneurs, the ecosystem and industry. The goal is to address the primary challenges of a technology startup, including successfully structuring a team, defining and validating the business concept in the context of the market realities, and delivering benefits for target customers while creating value for the entrepreneur and investors.

POCC Program Background

NYSERDA founded its Proof-of-Concept Center (POCC) program to catalyze researchers and practitioners to transition cutting-edge clean energy enabling innovation from the laboratory to the proof of product/market fit. In 2012, NYSERDA issued a competitive solicitation (PON 2537) that resulted in the selection of three POCC programs. Academic institution-based POCC programs were awarded to Columbia University and New York University. Columbia University and New York University combined the collective efforts of their respective POCC programs under the PowerBridgeNY brand. Columbia University partners with Stony Brook University, Brookhaven National Laboratory and Cornell Tech while New York University is partnering with the City University of New York. PowerBridgeNY is currently working with its fifth cohort of teams and expects to add a sixth cohort to the program in 2019. Under the PowerBridgeNY program, only teams affiliated from the partner academic institutions are eligible to participate in the program. In addition to Columbia University and New York University, High Tech Rochester was selected as a statewide POCC program under the same competitive solicitation. High Tech Rochester has branded their program NEXUS-NY and is currently working with its fifth and final cohort under the current contract. Participants in the NEXUS-NY program do not have to be affiliated with any particular academic institution in order to participate. As of the beginning of the fifth cohort for each program, PowerBridgeNY and NEXUS-NY have assisted 90 teams that have raised a combined \$19 million in private investment, \$11 million of non-NYSERDA grant funding, and \$258,000 in sales revenue.

In addition to these three contracts for POCC programs, NYSERDA has a contract with the New York Academy of Sciences (NYAS) to support the overall POCC initiative through the formation and management of an advisory board; implementation of an evaluation program to identify and track outcomes, experiences and lessons learned from the individual POCC activities; and dissemination of professional quality media to communicate the experiences and lessons learned from the three POCC programs and fold these learnings back into all the ongoing and new POCC programs for continuous improvement.

Objectives and Expected Outcomes

NYSERDA views this program as an investment of public funds to catalyze the implementation of multiple long-lasting POCC programs. The goal is to make early-stage investments and provide supporting services to enable the development and validation of promising clean energy technologies that are, or will become, the platform for startup companies located in New York State. The objectives of the Cleantech Accelerator, and broader the NYSERDA POCC initiative, include:

- De-risking and accelerating the concept and market validation and enabling subsequent commercialization of innovations out of research organizations and into the marketplace, particularly through startup companies.
- Matching emerging clean energy technologies that have scalable commercialization potential, based on real market need, with the investment community and market enabling partners.
- Developing a sustainable business model for the Cleantech Accelerator and successfully executing on it.
- Leveraging and/or establishing sustainable regional innovation ecosystems of potential investors and entrepreneurs in clean energy technologies and solidify linkages to them.

The Cleantech Accelerator must develop and sustain relationships and steward interactions and handoffs with organizations that support technology-based startup companies. These may include academic and research institutions, venture development organizations, investors, corporate/strategic partners, service providers, supply chain/market enabling partners and individual entrepreneurs and executives.

NYSERDA Context

Within the overall NYSERDA Technology to Market portfolio, the Proof-of-Concept Centers (POCCs) are the first step in the transition of research, inventions, and/or ideas into market-validated products. In addition, to the POCCs, NYSERDA supports seven clean energy incubators and ignition grants for clients of those incubators, an Entrepreneurs-In-Residence program to provide mentoring assistance, a Manufacturing Corps program to support businesses with manufacturing development, the 76West Clean Energy Competition, and a cleantech executive leadership institute for professionals.

The subsequent sections of this PON are as follows:

- II. Program Requirements (page 4)
- III. Proposal Requirements (page 7)
- IV. Proposal Evaluation (page 8)
- V. General Conditions (page 10)
- VI. Attachments (page 12)

II. PROGRAM REQUIREMENTS

Eligibility and Proposer Requirements

All entities, both for-profit and not-for-profit, are eligible to apply, including academic institutions. Proposers may be existing NYSERDA-sponsored organizations and/or new organizations that are not currently supported by NYSERDA. Proposers must be located in New York State, which means that their principal place of business and management team must be primarily based within the state.

The Cleantech Accelerator must develop and implement programs that are open to any qualified team or individual from any part of New York State.

Proposers should provide at least three illustrative examples of clean energy and advanced technology companies that have directly benefited from their acceleration and/or commercialization support. Examples should clearly and succinctly articulate how a proposer

helped these companies achieve significant technical and business milestones, such as achieving higher technical and commercial readiness levels, attracting investment, securing partnerships, commercializing products, identifying customers, 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.

Eligible Technologies

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.

Available Funding and Cost Sharing

Up to \$10,000,000 of NYSERDA funding is available through this PON. NYSERDA anticipates making one or more awards as a result of this solicitation. Awarded contract(s) will be for an initial term of five years with one, one-year option to renew. All, some, or none, of the available funds may be awarded through PON 3875. NYSERDA reserves the right to add or reduce time and/or funding to awarded contract(s). Successful proposers will be required to provide cost sharing; at least 20% 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 launching and managing the Cleantech Accelerator, which will make early-stage investments and provide supporting services to enable the development and validation of promising clean energy technologies that are, or will become, the platform for startup companies located in New York State. Proposers are expected to develop models that leverage regional assets while also utilizing national best practices from leading accelerators. 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 accelerator. Refer to the Proposal Narrative requirements for Section 3: Management Structure, Proposing Team Qualifications and Institutional Capability for the information and material to include in the proposal. Operational activities will be relayed to NYSERDA via periodic reporting which quantifies the impact of the accelerator (refer to Section 5: Measures of Success and Expected Outcomes) as well as progress made, and milestones achieved by client companies and graduates.
- **Programs** – The core of the Cleantech Accelerator is the design and implementation of strategies and activities that identify scalable clean energy enabling technologies, establish entrepreneurial teams that can build a business around the technology and bring it to market, and provide the mentorship and network to succeed. The Proposal Narrative requirements in Section 4: Implementation Strategy and Plan outlines a three-stage program: Ideation – Team Formation; Market Validation and Entrepreneurial Training; and, Business Formation, Support and Growth. Proposers are asked to present an implementation plan segmented by these stages.

- **Client-Driven Milestones** – Strategies and activities focused specifically on increasing the likelihood of accelerator team success. The proposer is required to provide a Milestone/Performance Payment Plan (Section 7 of the Proposal Narrative) that, in part, outlines outcome-based milestones related to new startup companies emerging from the Cleantech Accelerator's work. These may include the establishment of a new business enterprise to commercialize the market validated clean energy enabling technology, the establishment of a strategic corporate commercialization partnership, the introduction of a commercial product incorporating the technology, the successful raising of early stage capital, or other outcomes that support the objectives of the program.

Schedule and Teaming

The following guidelines should be considered when developing proposals:

- Projects are expected to begin within six months of the proposal due date. Awarded contract(s) will be for an initial term of five 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 accelerators. Include letters of commitment or interest from each identified team member in Section 8 of the Proposal Narrative.

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 in the identification and commercialization of clean energy enabling technologies, access to financial resources

and human capital sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), and the ability to qualify for an award under applicable laws and regulations.

- Performance of awarded projects will be assessed on a continuous basis in order to ensure the contractor is meeting its commitments and achieving the milestones laid out in the Statement of Work.

III. PROPOSAL REQUIREMENTS

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

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

Procurement Lobbying Requirements

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

Proposal Narrative

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

- Section 1: Executive Summary
- Section 2: Business Formation and Growth for the Clean Energy Technology Market
- Section 3: Management Structure, Team Qualifications, and Institutional Capability
- Section 4: Implementation Strategy and Plan
- Section 5: Measure of Success and Expected Outcomes
- Section 6: Financial Management Plan
- Section 7: Milestone/Performance Payment Plan
- Section 8: Additional Information

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.

A payment based on the final deliverable will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment.

IV. **PROPOSAL EVALUATION**

Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria, **listed in order of importance**. At 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. A proposer receiving a favorable evaluation 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 A, 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 cause the proposal to be rejected or significantly reduce the score of a proposal.

- At least a 20% cost share is substantiated by documentation included in the proposal.
- The proposer is located in New York State (refer to Section II, Program Requirements)
- The proposal, and any supporting materials, documents that the identified Cleantech Accelerator team members have experience with the commercialization of clean energy enabling technologies.

Evaluation Criteria in Order of Importance

Implementation Strategy and Plan

- Does the proposed project define a clear and compelling value proposition and an executable strategy that will result in the identification and evaluation of promising research that can serve as the platform for clean energy technology business formation, and accelerate progress to the viability of any resulting business? Is there a demonstrated understanding and effective design of the process for establishing proof-of-concept, validating product/market fit and moving technologies toward commercialization?
- Is there a mechanism/process to timely exit teams which have no chance of becoming a successful business and document lessons learned, or to enable a pivot which will enable success?
- Does the Communications Strategy outline a clear set of tasks to develop the appropriate media to inform the market of the activities of the Cleantech Accelerator and active/graduated teams?
- Can the strategy be tested, measured, and adjusted with ease?

Management Structure, Team Qualifications, and Institutional Capabilities

- Does the Cleantech Accelerator Director have a proven track record in providing business formation support to start-up and early stage technology companies? How much of this track record involves clean energy-enabling technologies? Does the Cleantech Accelerator Director have sufficient management authority to operate an effective Cleantech Accelerator?
- Has the proposer clearly identified team members with credentials in entrepreneurship and technology commercialization? Do team members have demonstrated experience with business formation involving clean energy enabling technologies?

- Have gaps in the management team for the Cleantech Accelerator been identified? Is there a clear plan to successfully fill the gaps?

Business Formation and Growth

- Does the proposal accurately identify the challenges that technologists and entrepreneurs face during the very early stage of business formation with a particular emphasis on clean energy enabling technologies?

Measure of Success and Expected Outcomes

- Are the expected outcomes challenging but realistic?
- Is there an effective plan to accurately measure progress towards the expected outcomes?
- Based on a review of the proposal, how likely is it that the proposed work plan, as implemented by the proposing team, will result in the expected performance targets?

Financial Management

- Does the cash flow projection table present a cost sharing commitment greater than or equal to 20% of the total NYSERDA)?
- Does the Financial Plan present a clear and realistic budget allocation that is necessary to achieve the goals and objectives of the Cleantech Accelerator program?

Performance Payment Plan

- How meaningful and impactful are the proposed milestones? How aligned with client success is the proposed milestone payment plan?
- Do the proposed program targets and payment plan demonstrate an appropriate level of risk sharing regarding Cleantech Accelerator operation? Are deliverables tangible? Do they represent progress towards program goals? Do they reward real outcomes?

Project Benefits

- How significant are the economic and environmental benefits from the project, in the form of subsequent leveraged investment, new product commercialization, and job creation by Cleantech Accelerator teams 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 or interest from other sponsors for the proposed project?

Other Considerations

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

- Duplication of other proposed or awarded projects.
- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.
- The degree to which there is industry involvement and demonstrated ability to commercialize energy or related technologies.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.
- Track record and previous performance of proposer(s).

V. GENERAL CONDITIONS

Proprietary Information

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

Omnibus Procurement Act of 1992

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

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

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

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

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

State Finance Law sections 139-j and 139-k

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

Tax Law Section 5-a

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

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

Contract Award

NYSERDA anticipates making one or more awards under this solicitation. NYSERDA anticipates a contract duration of five years with a one-year option, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately eight weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Accessibility Requirements

If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

Limitation

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

right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

Reporting

If awarded under this PON, the contractor will be required to submit to NYSERDA's Project Manager on a biannual basis, the following metrics for the Cleantech Accelerator's client companies and graduates for at least three 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 the Cleantech Accelerator's 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 reporting period.

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

Disclosure Requirement

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

VI. ATTACHMENTS

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

- Attachment A - Proposal Narrative
- Attachment B - Mission Model Canvas
- Attachment C - Sample Agreement

Public Transit Technology and Innovation Program

Program Opportunity Notice (PON) 3914

Up to \$5,000,000 Available

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

Round 1:

Concept Papers Due: August 7, 2018

Full Proposals Due: November 8, 2018 no later than 3:00 PM EST

Round 2:

Concept Papers Due: February 21, 2019

Full Proposals Due: May 16, 2019 no later than 3:00 PM EST

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I. INTRODUCTION

New York State has more public transportation ridership than any other state, in terms of both overall and per capita ridership. This ridership demand has been increasing in recent years, especially in dense urban environments like the New York City area and is expected to continue to grow. With some transit systems already at or over capacity, new investments are needed to keep up with demand. There exists a critical opportunity to rethink public transportation operations as transit agencies seek innovative ways to serve riders more efficiently, such as wider adoption of technological advancements and capitalization of industry expertise through public private partnerships. Furthermore, there exists opportunities to help transit agencies improve energy efficiency and to improve transit ridership in transit deserts especially in suburban and upstate areas. To date, many of these opportunities have not been undertaken due to technical and operational hurdles including a lack of dedicated research and development (R&D) budget for product development and demonstration, procurement challenges, financing challenges and logistical hurdles. Innovative energy efficiency solutions could potentially generate sustainable environmental, social and economic benefits through reduced greenhouse gas (GHG) emissions, improved quality of commute for riders and millions of dollars in annual cost savings.

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals to develop and demonstrate innovative public transportation technologies and strategies that have the potential to reduce GHG emissions and associated energy consumption of the existing transit bus, rail and connected intermodal transit systems in New York State. Proposals should focus on new or underutilized solutions that can help transit agencies make tangible improvements to their operations while achieving real energy savings, especially in transit bus efficiency and electrified rail. Proposals should demonstrate a feasible path to economic viability and be replicable and transferrable throughout the State by different size transit agencies. Private, non-profit, and public entities are eligible to propose. The goal of this program is to develop and demonstrate innovative technologies and operational approaches that are required for New York's public transportation systems, while contributing to the State's energy and GHG reduction goals.

II. PROGRAM INFORMATION

Projects **MUST** address one or more of the following Challenges and Focus Areas, which should be identified in the proposal. Proposals that do not address one or more of the Challenges and Focus Areas may be considered unresponsive.

A. Innovation Challenges

Goal: To develop and demonstrate new products and strategies that can reduce energy use from rail traction power, increase efficiency of transit bus service, and improve transit agency operations and ridership statewide.

Challenge 1 – Improve Efficiency and Reliability of Rail Traction Power

- Innovations that advance the state of technology for energy efficiency improvements to electrified rail transit that address **one or more of the following focus areas**:
 - o **Rail equipment** that can reduce third rail electrical loss, lower resistance, and improve power reliability during periods of peak demand
 - o **Advances in energy management and harvesting** that can a) accelerate and improve the energy capture and use of rail regenerative braking technologies, b) overcome integration challenges of energy storage systems to the power distribution system used by trains, c) allow operators to increase service frequency and reduce headways without the need to substantially upgrade existing substations, and/or d) improve monitoring, measurement and control of energy use and energy efficiency at a targeted site level within a transit system
 - o **Train equipment innovations** such as optimizing vehicle weight and reducing unnecessary load without compromising safety, and improving the efficiency and maintainability of on-board systems including HVAC and lighting
 - o **Improvements to train operations** including ways to a) optimize speed profiles and reduce inconsistent and inefficient braking, b) reduce dwell time in stations and yards and reduce HVAC loss, and/or c) improve the efficient distribution and dispatching of trains and reduce the amount of train travel without passengers

Sample Target Metrics: Peak demand (MW), Percentage of traction energy recovered through regeneration, Greenhouse Gas (GHG) emissions per Passenger Mile Traveled (PMT), Third rail voltage

Challenge 2 – Expand Electrification and Improve Efficiency of Buses and Fleets

- Innovations that advance the state of technology for energy efficiency improvements to transit buses, paratransit, and non-revenue vehicle operations that address **one or more of the following focus areas**:
 - o Innovations that facilitate **bus and paratransit electrification**, including projects that a) develop and demonstrate new technologies or strategies to improve the electrification of diesel buses and paratransit vehicles and facilitate cost-effective, faster, universal charging of electric buses and/or b) identify ways to reduce the total cost of ownership of purchasing or converting to electric vehicles while streamlining the necessary operational and maintenance modifications
 - o **Innovative approaches to bus operations** that can reduce inconsistent and inefficient braking, reduce dwell time and improve on/offboarding, alleviate bus bunching and/or reduce the time buses spend in traffic
 - o Technologies or strategies to **reduce energy use from non-revenue fleets** through the electrification of diesel and gasoline O&M vehicles and equipment or the reduction of idling

Sample Target Metrics: Miles per gallon gasoline equivalent (MPGe), Gallons of diesel/gasoline saved, GHG emissions per PMT, Electricity dispensed by EV chargers, Total cost of ownership

Challenge 3 – Integrate Smart and Advanced Technology to Improve the Transit Experience

- Innovations that serve to expand transit ridership and improve the efficiency of transit facilities that address **one or more of the following focus areas:**
 - o Innovative approaches to **improve customer experiences** using data to improve route planning, information sharing, and decision-making tools for riders
 - o Development and demonstration of technologies, strategies, or partnerships to **improve first and last-mile connections** to public transit hubs, especially in rural areas or transit deserts
 - o Innovations that **reduce energy use in transit facilities** through a) improvements in operations or maintenance procedures and/or b) use of passive thermoelectric or kinetic technology

Sample Target Metrics: Vehicle Miles Traveled (VMT) avoided, GHG emissions per PMT avoided, Annual ridership

B. Funding Categories.

Three (3) categories will be considered for funding. Proposals must identify which single category they are applying for:

1. **Technical Feasibility Studies:** Category 1 is for feasibility studies that conduct preliminary research into the concepts underlying new products, systems, or services as a first stage of product or service development. These studies are necessary precursors to ultimate product development and commercialization. Feasibility studies may include conceptual design, technology and market assessments, and similar early-stage studies. NYSERDA's share of funding for any project of this type will be limited to a maximum of \$200,000. All Category 1 projects are required to provide at least 50% of total project costs in non-NYSERDA matching funds.

2. **New Product Development:** Category 2 includes efforts that are crucial to the development of a marketable product, system, or service and any demonstration, testing, or validation of an innovation that is not already commercially available in an application with high impact on the public transportation sector. NYSERDA's share of funding for any project of this type will be limited to a maximum of \$1,000,000. All Category 2 projects are required to provide at least 50% of total project costs in non-NYSERDA matching funds.

3. **Demonstration of Technologies and Business Models:** Category 3 is aimed at demonstrating emerging public transportation related technologies, services, or strategies that are commercially available but have not yet been significantly deployed in NYS. This includes hardware, software, policies, and market development initiatives. An example could be a new wayside energy storage system that is in use in Europe but not yet sold or demonstrated in New York. NYSERDA's share of funding for any project of this type will be limited to a maximum of \$1,000,000. All Category 3 projects are required to provide at least 50% of total project costs in non-NYSERDA matching funds.

Proposers must select **only one (1) funding category**, which must be indicated in the proposal. Proposals that do not identify a funding category or include multiple funding categories may not be

reviewed by NYSERDA. Proposers applying under Category 1 or Category 2 should allocate 10-25% of the project budget for commercialization-related tasks, such as customer discovery and market research, IP protection, business plan development, and design for manufacturing tasks. Category 1 and Category 2 proposals are subject to NYSERDA's recoupment requirements, as outlined in Section V. NYSERDA may change a proposal to a more appropriate funding category if the category the proposer selects does not match the scope of the project; if this is the case and the proposal receives an award, it will be subject to the requirements of the funding category to which NYSERDA has assigned it.

NYSERDA reserves the right to modify a project's Statement of Work and may offer to fund any of the proposal's phases therein at a lower level than that requested, such as by offering to fund a feasibility study rather than a proposed prototype development effort.

C. Program Requirements

Project Scope. To qualify for funding, proposals must:

- Show a potential to reduce GHG emissions by improving or expanding public transportation use in NYS
- Address an innovative, under-utilized technology that would benefit from public exposure using credible performance metrics
- Provide quantifiable benefits to NYS with respect to the public transportation market
- Emphasize development of marketable products, services or strategies rather than basic research that is not replicable
- Provide products or strategies that minimize excessive customization tailored to one transit agency
- Identify a clear value chain and provide products or strategies that can be easily inserted into a transit agency's own value chain or operating/capital processes
- Show a potential to reduce a transit agency's operating or capital costs

Project Schedule, Phasing and Teaming. The following guidelines should be considered when developing proposals:

- Projects are expected to begin within six months of the proposal due date. As transit ridership continues to increase, infrastructure operates beyond useful life and technology evolves quickly, shorter projects are strongly preferred. Generally, the project schedule should not exceed: 18 months for Categories 1; and 24 months for Categories 2 and 3.
- Teaming Agreements are strongly encouraged, where appropriate, to enhance the likelihood of project success. Teams may include commercial firms, industry associations, research organizations, universities, government agencies, end-users, or other stakeholders.

Letters of Commitment or Interest. If relying on any other organization to do some of the work, provide services or equipment, or share in the non-NYSERDA cost, you must include a letter from that organization describing its planned participation and financial commitment if there is one. The lack of such letters is viewed as a very serious proposal deficiency and will be judged accordingly in the

evaluation process. Also include letters of interest or commitment from businesses or other organizations critical to the future commercialization, demonstration, or implementation of the project. **This is especially critical when working with a transit agency.** Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. Letters should not be solicited from NYSERDA personnel.

III. CONCEPT PAPER AND FULL PROPOSAL REQUIREMENTS

Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal.

NYSERDA is employing a **two-step** application process in this solicitation.

1) Concept Paper. For each Round of the solicitation, all proposers will be required to initially submit a four-page Concept Paper by the indicated due date using the Concept Paper Template provided in Attachment A. The Concept Paper should provide a concise overview of the proposer's public transportation innovation. The Concept Paper will be reviewed and scored by a scoring committee based on the Evaluation Criteria in Section IV. NYSERDA may invite proposers whose Concept Papers have been selected for further consideration to submit a Full Proposal. The invitation will include the date by which Full Proposals must be received. Failure to submit a Concept Paper precludes submission of a Full Proposal. **Submission of Full Proposals is by invitation only.**

2) Full Proposal. If notified by NYSERDA of a favorable Concept Paper review, the proposer will be invited to submit a Full Proposal using the instructions and attachments listed below.

The proposer's goal should be to concisely present the information needed to fully address the Full Proposal evaluation criteria (Section IV). 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 IV instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, effective, and concise 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. All proposers are required to submit, at a minimum, the following documents:

Proposal Narrative (with required attachments)
Statement of Work (instructions are in the Proposal Narrative files)
Budget Form (instructions are in the Proposal Narrative files)

Each Funding Category has its own respective Proposal Narrative, with the sections listed below. Proposer must follow the instructions provided during the Proposal Submission process to ensure that all required documents for the selected Funding Category are submitted.

Proposal Narrative - Funding Category 1 (Attachment B1)

- Executive Summary
- Problem Statement and Proposed Solution
- State of Research and Technology Targets
- TRL/CRL Calculator (Attachment C3)
- Commercialization Potential of Proposed Solution
- Feasibility Study Information
- Statement of Work (Attachment C1) and Schedule
- Project Benefits
- Budget
- Proposer Qualifications
- Letters of Commitment
- Attachments

Proposal Narrative - Funding Category 2 (Attachment B2)

- Executive Summary
- Problem Statement and Proposed Solution
- Business Model Canvas (Attachment C2)
- State of Research and Technology Targets
- TRL/CRL Calculator (Attachment C3)
- Commercialization Potential of Proposed Solution
- Three-Year Financial Projections Worksheet (Attachment C4)
- Demonstration Site and Product (for projects that include pilot or validation testing ONLY)
- Replication Potential of Proposed Demonstration (for projects that include pilot or validation testing ONLY)
- Statement of Work (Attachment C1) and Schedule
- Project Benefits
- Budget
- Proposer Qualifications
- Letters of Commitment
- Attachments

Proposal Narrative - Funding Category 3 (Attachment B3)

- Executive Summary
- Problem Statement and Proposed Solution
- Business Model Canvas (Attachment C2)
- State of Research
- TRL/CRL Calculator (Attachment C3)
- Commercialization Potential of Proposed Solution
- Three-Year Financial Projections Worksheet (Attachment C4)
- Demonstration Site and Product
- Replication Potential of Proposed Demonstration
- Statement of Work (Attachment C1) and Schedule
- Project Benefits
- Budget

- Proposer Qualifications
- Letters of Commitment
- 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 50% of the total cost of the project. Cost sharing can be from the proposer, other team members, and/or other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered cash contributions. Unpaid labor 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 table (expand table as needed):

	Cash	In-kind Contribution	Total
NYSERDA	\$	\$	\$ -
Proposer	\$	\$	\$ -
Others (list individually)	\$	\$	\$ -
Total	\$ -	\$ -	\$ -

A. Submission Process and Requirements

NYSERDA strongly prefers online submission for all solicitations. NYSERDA does not accept faxed or emailed submissions.

Complete and submit your application/proposal online at:

https://portal.nyserda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt000000FoKymAAF

When submitting online, you will have to answer questions as part of this process, in addition to uploading documents. Therefore, you should allot at least 60 minutes to complete and submit your application/proposal. The online proposal system closes promptly at 3:00 PM on the date above. Files in process, attempted edits, or submissions after the due date, will not be accepted. It is the proposer's responsibility to ensure that all pages have been included in the proposal.

When completing your application, submit documents only in the follow formats:

- .doc, .docx
- .pdf
- .xls, .xlsx
- .ppt, .pptx, .pps, .ppsx
- *Compressed versions of the above files types in .zip format*

File names must include the proposer's entity name.

Proposal files should be searchable. Do not convert hardcopies into PDFs or any other type of file using a scanner or by taking a photo of the hardcopy. Individual files should be 100MB or less in file size. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

For detailed instructions on how to submit a proposal, read the "[Application Instructions and Portal Training Guide](#) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible.

B. Contacting NYSERDA about a Proposal

No communication intended to influence this procurement is permitted.

If you have technical questions about this solicitation, contact **Richard Mai** at (212) 971-5342, ext. 3476 or by email at Richard.Mai@nyserda.ny.gov or Adam Ruder, Program Manager at (518) 862-1090, ext. 3411 or by email at Adam.Ruder@nyserda.ny.gov

If you have contractual questions or questions about NYSERDA's processes and policies regarding this solicitation, contact **Nancy Marucci** at (518) 862-1090, ext. 3335 or by email at Nancy.Marucci@nyserda.ny.gov. Questions regarding Attachments C2-C4 should be directed to Nicholas Querques at (518) 862-1090, ext. 3086 or by email at Nicholas.Querques@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 may result in a proposer being deemed a non-responsible offerer and may result in the proposer not being awarded a contract.

C. Compliance with State Finance Law

In compliance with [Sections 139-j and 139-k of the State Finance Law](#) (see **GENERAL CONDITIONS** below for additional information), proposers will be required to answer questions during proposal

submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

IV. CONCEPT PAPER AND FULL PROPOSAL EVALUATION

1) Concept Paper Evaluation. Concept Papers will be reviewed and scored by the scoring committee as per the evaluation criteria listed below. Those submitting Concept Papers that receive a favorable review, will then be invited to submit a Full Proposal. NYSERDA expects to notify awardees in approximately 4-6 weeks from Concept Paper due date if your proposal has been selected to receive an award.

New York State Impact

- Is the proposed approach a transformational advancement over existing solutions which, if successful, will result in truly significant improvements in energy use in public transportation, public transit ridership, GHG emission reductions, grid resiliency and utilization in New York State?
- Is the proposed approach likely to enable benefits at scale, that is, if developed, become an economically viable, replicable, and transferrable solution that can help NYS transit agencies make tangible improvements to their operations while achieving real energy savings?
- Is the proposed concept consistent with NYSERDA programmatic goals and mission?

Innovation

- Is the proposed approach unique and innovative?
- Is the proposed approach technically sound?
- Is the proposed approach aimed at the development and commercialization of technology or innovative business practice, as opposed to basic research aimed at discovery and fundamental knowledge generation?

State of the Art

- Does the applicant demonstrate an understanding of existing and other emerging solutions?
- Has a target market been identified and characterized and are there sufficient markets or needs for the concept/technology, project, or study?
- To what extent has the proposer engaged the market? To what extent does the proposer understand the market?
- Is there an understanding of competitive options being developed by others?
- Is the value proposition sufficient that the concept or technology will likely be successful in the target market?

Risks and Challenges

- Does the proposal clearly identify and prioritize the technical and techno-economic risks and challenges?
- Does the proposal offer a compelling explanation of how it will address barriers to market entry or adoption of the concept, product, or technology?

Project Plan

- Does the proposal clearly outline how the proposed outcomes will be achieved?
- Are the proposed project objectives reasonable and, if achieved, will they validate the proposed concept?
- Can the proposed work be reasonably accomplished for the amount of time, effort, and resources proposed?

Team

- Does the proposed team have the necessary expertise and resources to carry out the proposed work?

2) Full Proposal Evaluation. Full Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the following evaluation criteria:

Proposed Solution/Scope

- The proposal identifies a core problem pertinent to NYS that is essential to the advancement of Public Transportation technical solutions.
- The proposed project is feasible, innovative, and superior to alternatives, and will make significant progress toward solving the identified problem.
- The approach is testable and flexible, and the work schedule is reasonable.
- The selected Funding Category is appropriate for the proposed solution.

Project Benefits

- The proposed solution has the potential to significantly reduce GHG emissions or energy use from public transportation, or by helping more people use public transportation in NYS.
- There are sizable economic benefits to NYS in the form of innovation, manufacturing, or technical services, and there will be NYS jobs created and/or retained because of this project.
- There are additional significant benefits, such as increased resiliency to disasters or air quality improvements.
- A significant portion of the work will take place in NYS.

Market Potential

- The proposed solution addresses a core public transportation problem that is not being addressed by others and provides the potential for wide-scale replicability.
- The implementation strategy is well-conceived, appropriate for the current stage of development, and there is a sound plan for measuring progress and success.
- The proposer has exhibited a strong market demand for this solution and has already identified target customers or end-users.

Project Team/Support

- The project team has both a strong technical and business background with the relevant and necessary expertise to complete the proposed work.
- The proposer has successfully commercialized one or more products or deployed services.

- The proposer has secured strong commitments from all essential team members and partners, including both letters and cost sharing, and has demonstrated strong support from necessary market actors.
- For projects relying on a public transit authority or agency, all necessary project team support such as availability of drawings, Right-of-Way access and protection, and Operations & Maintenance staff buy-in has been obtained

Project Value

- The cost of the project is strongly justified with respect to the expected benefits and the potential market or deployment opportunity.
- The proposer has met or exceeded the recommended cost share amount, and these contributions are appropriate given the financial resources of the team and the degree of risk.
- The proposal outlines a plan for pursuing additional funding and development support, if necessary, to bring the proposed solution to full commercialization.
- The proposal shows a strong potential to reduce a transit agency's operating and capital costs.

NYSERDA may request additional data or material to support applications/proposals. NYSERDA may also request proposers interview with all or part of the Scoring Committee to address any questions or provide clarification regarding information outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

Program Policy Evaluation Factors. NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- 1) Whether the proposed project will advance the goals of the State Energy Plan and the Clean Energy Fund, which include improving resilience and reducing GHG emissions.
- 2) The degree to which there is diversity of technologies, approaches, methods and institutions that would be complementary to and support a diversity of geographic locations and of technical approaches and methods that, in conjunction with the existing portfolio of projects funded by NYSERDA, best achieve the overall goals and objectives of NYSERDA.
- 3) The degree to which there is industry involvement and demonstrated ability to accelerate the adoption of energy or related technologies.
- 4) Whether the proposed project will accelerate transformational technology advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty.
- 5) The degree to which there are technical, market, organizational and/or environmental risks associated with the projects that outweigh the potential benefits.
- 6) The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- 7) Past performance of the proposer on other NYSERDA projects
- 8) The degree to which the applicant has the resources (human and financial) to be able to complete the project.
- 9) The degree to which pricing and hourly rates are in line with the rest of the market.

NYSERDA expects to notify awardees in approximately 6-10 weeks from proposal due date if your proposal has been selected to receive an award.

V. AWARDEE CONDITIONS

If selected for an award under this solicitation, please read this section carefully as it contains the requirements and conditions for awardees.

A. Contract Award

NYSERDA anticipates making multiple awards under this solicitation. Upon execution of a contract, any awardee of this solicitation will be considered a NYSERDA contractor. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the statement of work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA will use the sample agreement to contract successful proposals.

NYSERDA may, at its discretion, elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions.

Selected proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

B. Deliverables

Final Report: Upon completion of the contract period, the Contractor shall prepare a non-proprietary/non-confidential Final Report covering all aspects of the work performed under this Agreement; the report shall include information on the following subjects: 1) Discussion of the observations and findings and recommendations, if any, from all tasks, and avenues for further improvements, as appropriate; 2) Discussions of the project results and lessons learned regarding configuration, capabilities, and benefits of the project; and 3) Environmental, and economic benefits, and implementation scenarios associated with such.

A payment based on the final deliverable will be reserved until project completion. NYSERDA may choose to negotiate the amount of such payment.

Annual Metrics Reports

NYSERDA requires awardees to annually submit a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates must reference credible sources and estimating procedures, and all assumptions must be

documented. Reporting must commence the first calendar year after the contract is executed. Reports must be submitted by January 31 for the previous calendar years' activities (i.e. reporting period). Reporting will continue for 2-10 calendar years post contract close, depending on funding category. Reporting metrics must be provided in accordance with a web-based form, which will be distributed by NYSERDA.

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

C. Recoupment

For any new product research and/or development, NYSERDA will generally require a royalty based on sales of the new product developed. NYSERDA's standard recoupment terms are valid for a period of fifteen years or until the contractor pays NYSERDA an amount equal to the amount of funds paid by NYSERDA to the contractor, whichever comes first. The recoupment terms are:

For products made in New York State:

- 1.5% of sales
or
- 10% of all license revenue

For products made outside of New York State:

- 5% of sales
or
- 30% of all licensing revenues

For any new projects exceeding \$75,000 that involve product development, including business development, NYSERDA will require a royalty based on sales and/or licensing of the new product developed (see Attachment E, Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration projects. See the definitions below to determine if your project will be subject to recoupment. Note that NYSERDA will make final determinations as to whether proposals fit within the demonstration or product development categories. **Proposals to PON 3914 under Funding Category 1 and Funding Category 2 are subject to these product development recoupment requirements. Proposals submitted under Category 3 that NYSERDA deems to be more appropriately classified as product development may also be subject to these product development recoupment requirements.**

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

warranted. While incremental improvements may be incorporated based on the demonstration results, the final product design is essentially complete.

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

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

Accessibility Requirements

NYSERDA requires contractors producing content intended to be posted online 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](#).¹

VI. GENERAL CONDITIONS

If changes are made to this solicitation, notification will be posted at:

https://portal.nyserdera.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt000000FoKymAAF

A. Confidential and Proprietary Information

Give careful consideration before submitting confidential information to NYSERDA as part of your proposal. Consider and review whether confidential information is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. 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](#).² However, NYSERDA

¹ <https://www.nyserdera.ny.gov/-/media/Files/About/Style-Guide/ADA-Accessibility-Requirements.pdf>

² <https://www.nyserdera.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>

is bound by State Freedom of Information Law and cannot guarantee the confidentiality of any information submitted.

B. Freedom of Information Law

[The New York State Freedom of Information Law, Public Officers law, Article 6](#),³ 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.”

<http://law.justia.com/codes/new-york/2015/pbo/article-6>

C. 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
<https://esd.ny.gov/>

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
<https://ny.newnycontracts.com/>

³ <https://www.dos.ny.gov/coog/foil2.html>

D. State Finance Law, Sections 139-j and 139-k

NYSERDA is required to comply with [State Finance Law sections 139-j and 139-k](#).⁴ These provisions contain procurement lobbying requirements. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

E. Tax Law Section 5-a

NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the Department) whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification: see [ST-220-TD](#).⁵ 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](#).⁶ The Department has also developed [guidance](#)⁷ for contractors.

F. 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.

⁴<https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>

⁵ http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf

⁶ http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf

⁷ <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>

G. Disclosure Requirement

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

VII. ATTACHMENTS

Attachment A – Concept Paper Template

Attachment B1 – Proposal Narrative for Funding Category 1 – Technical Feasibility Studies

Attachment B2 – Proposal Narrative for Funding Category 2 – New Product Development

Attachment B3 – Proposal Narrative for Funding Category 3 – Demonstration of Technologies and Business Models

Attachment C1 – Statement of Work Sample Format

Attachment C2 – Business Model Canvas Template

Attachment C3 – Technology and Commercialization Readiness Level Calculator

Attachment C4 – Three-Year Financial Projections Worksheet

Attachment D – Budget Form and Instructions

Attachment E – Sample Agreement

Energy-Related Air Quality and Health Effects Research

Program Opportunity Notice/Request for Proposal (PON) 3921

\$ 2,500,000 Available*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.***Proposals Due: October 10, 2018 by 3:00 PM Eastern Time***

The New York State Energy Research and Development Authority (NYSERDA) has developed a long-term research plan for the Environmental Program (Air Quality and Health Effects plan components are available through NYSERDA's website at <http://www.nyserda.ny.gov/-/media/Files/Publications/Research/Environmental/Air-Quality-Research-Plan.pdf>). This Program Opportunity Notice (PON) is guided by the Air Quality and Health Effects Research Plan and supports research to improve the scientific and technical foundation for addressing key policy-relevant questions related to air quality and health effects research. Targeted research Categories are listed below with the research plan topic number and include:

- A. Atmospheric Species—Improve Monitoring, Characterization, Trends, and Understanding of Processes (Topic B.1.b)**
- B. Trends Analysis, Model Evaluation, and Accountability Studies (Topic B.1.c)**
- C. Improved Energy-sector Modeling for Energy and Environmental Policy Evaluation (Topic B.1.e)**
- D. Emissions Estimates—Better Characterization of Poorly Characterized Sources and Pollutants (Topic B.2.a)**
- E. Accountability Studies and Health Impact Assessments (Topic B.3.c)**
- F. Monetization of Air Quality and Public Health Benefits Due to Clean Energy (Topic B.3.f)**

\$2,500,000 is available for projects. Awards are limited to \$500,000; NYSERDA anticipates making multiple awards addressing multiple targeted research areas. Project durations are expected to be in the range of one (1) to three (3) years. Total funds available may not be sufficient to fund all proposals received. Cost-sharing by proposers of at least 25% is preferred. Leveraging of other research funding is strongly encouraged. In-kind cost-sharing is acceptable. NYSERDA may fund selected proposals in phases or assign a Project Advisory Committee. NYSERDA reserves the right to build teams between selected contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, PDF or zip files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). However, proposals must be submitted as a single file, inclusive of all supporting documents. Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Ellen Burkhard – primary designated contact at (518) 862-1090, ext. 3332 or Ellen.Burkhard@nyserda.ny.gov or Gregory Lampman – secondary contact (Designated Contact) at (518) 862-1090, ext. 3372 or by e-mail Gregory.Lampman@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or Nancy.Marucci@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** ALL PROPOSALS MUST BE RECEIVED BY 3:00 PM EASTERN TIME ON THE DATE NOTED ABOVE. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3pm Eastern Time, proposals or files in process or attempted edits or submission at any time after 3pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSEDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

The major goals of NYSEDA's Environmental Research Program are to increase understanding and awareness of the environmental impacts of current and emerging energy options, provide a scientific and technical foundation for formulating effective, equitable, energy-related environmental policies and resource management practices, and build scientific capabilities within New York State (NYS).

There have been many changes in the past few years with respect to energy and environmental policy and energy markets. While there is uncertainty in some areas such as federal policies, states such as New York have developed policies that are buoyed by market trends in renewable energy, natural gas use, and emerging technologies.

Energy policies in NYS and elsewhere are expected to change how and where electricity is generated, how buildings are heated and cooled, and how people and goods are transported. Many of these transformations will result in changes in the emissions profiles of energy sources and their proximity to where people live and work. Some technologies, such as zero-emissions technologies (energy efficiency, solar, wind, hydroelectric power, and electric vehicles) will result in significant emissions reductions. However, given the intermittency of solar and wind energy, they may require some level of backup by other generation sources or energy storage. Similarly, electric vehicles, while non-emitting during operation, do require charging from the grid. Where and when charging takes place will also alter emissions profiles. Combustion technologies are similarly complex. Fuel switching, such as re-powering to natural gas that displaces coal- or #6 fuel oil-combustion, can result in significantly lower sulfur dioxide (SO₂), nitrogen oxide (NO_x), and particulate matter (PM) emissions. In contrast, biomass fuels used for heating, combined heat and power, or electricity generation will result in large increases of PM emissions (100- to 2000-fold) and may require emissions control technology to mitigate local air quality and public health impacts. Finally, energy storage technologies will allow for more strategic dispatch of both renewable and conventional energy.

New York is embarking on a comprehensive energy strategy that includes initiatives presented in the State Energy Plan, Reforming the Energy Vision (REV), Clean Energy Fund (CEF), and Clean Energy Standard (CES).

REV and additional initiatives in the State Energy Plan have the following goals to be accomplished by the year 2030:

- 40% reduction in greenhouse gas (GHG) emissions from 1990 levels
- 50% of energy generation from renewable energy sources
- 23% decrease in energy consumption in buildings

Collectively, these objectives will influence energy-related emissions with respect to their spatial and temporal patterns and will also affect ambient concentrations of ozone (O₃), PM, their precursors, co-pollutants and air toxics (which include hazardous air pollutants) as well as GHGs. Human exposure to these energy-related pollutants and associated public health effects will change as well. Overall public health and environmental benefits are anticipated by reducing fossil fuel use. However, local and site-specific impacts are more challenging to estimate.

REV, for example, is expected to transform the way in which NYS values, generates, distributes, and manages electricity. Its implementation is expected to result in the increased penetration of distributed energy generation and storage technologies and installation of micro grids. These technologies will include solar, wind, fuel cells, hydroelectric, energy storage, and various combustion technologies, along with an increased use of energy efficiency technologies and demand-side management measures to address peak load demand on New York's electric system. The REV effort contains more than 40 initiatives to build a clean, resilient, and more affordable energy system including:

- The NY-Sun Incentive Program aims to add more than 3 gigawatts (GW) of installed solar capacity in the State by 2023.
- New York has an Offshore Wind Master Plan for 2.4 GW to be developed by 2030.
- Charge NY is an initiative to encourage installation of 10,000 electric vehicle charging stations and encourage electric vehicle adoption.
- New York Truck – Voucher Incentive Program provides incentives for clean vehicle technologies to provide for the purchase of alternative fuel vehicles and verified diesel emission control technologies.
- New York Prize is a first-in-the nation competition to help communities create micro-grids – standalone energy systems that can operate independently in the event of a power outage. This helps communities reduce costs, promote clean energy, and build reliability and resiliency into the electric grid and will also help modernize NYS's electric grid system. Micro-grid projects selected include the use of solar and natural gas-fired combined heat and power systems with selective catalytic reduction [for NO_x reduction]. Some facilities with existing diesel generation will be adding diesel particulate filters.
- NYS anticipates deploying 1,500 MW of energy storage by 2025.

Large changes to the electric transmission and distribution grid will be needed for implementing REV. The New York State Department of Public Service has a proceeding underway to enable an increase in overall Distributed Energy Resources (DER) penetration and more accurately compensating for the benefits that DER installations provide to the system. One of the factors is environmental benefits. The Environmental Research Program can help inform policy-makers of the differentiated environmental and public health benefits of DER spatially and temporally. For example, a solar installation may have higher economic value in a congested area of the grid due to the locational based marginal price (LBMP) but it may also have greater environmental benefits as well, especially on high electric demand days, if it can prevent higher emitting resources from being required. More information may be found at:

<http://www3.dps.ny.gov/W/PSCWeb.nsf/All/8A5F3592472A270C8525808800517BDD>

A wide range of distributed generation and emission control technologies exist, and in some cases, distributed generation will displace a larger emissions source and decrease both local air pollution and human exposure. However, distributed generation may contribute to adverse local air quality and public health impacts, depending upon fuel choice and the specific siting location. Understanding the operational cycles and exhaust gas temperature in detail as well as the site-specific landscape and meteorology are important for project design. For example, placement of a new source within an urban canyon where emissions cannot easily disperse could adversely impact people at street level through operable windows or air intake units, and this must be avoided.

Along with the initiatives stated above, the New York State Department of Environmental Conservation (NYSDEC) is developing a rule for distributed generation sources. This will assist NYS in planning to meet the National Ambient Air Quality Standards (NAAQS) for ozone (O₃) and continuing to meet the NAAQS for fine particulate matter (PM_{2.5}). More information may be found at: <http://www.dec.ny.gov/chemical/113887.html> and <http://www.dec.ny.gov/regulations/104487.html>

In 2015, the NAAQS for O₃ was strengthened from 75 to 70 parts per billion (ppb) and will soon be under review again. The NAAQS for PM_{2.5} is currently under review. Decisions at the federal level to no longer pursue the Clean Power Plan and potentially delay implementation of the NAAQS may also have an impact on emissions sources and air quality within, upwind and downwind of NYS. Despite the uncertainty of federal policy, the energy markets have continued to work toward making solar and wind power development competitive against natural gas and coal.

Governor Cuomo's 2017 State of the State Address called for "Health Across All Policies," and directs NYS agencies to consider public health and human health in all decision and policy making. Use of zero and low emissions technologies promotes a healthy and safe environment and may reduce chronic disease in burdened communities in NYS by improving outdoor air quality and reducing exposures to PM_{2.5}, O₃, and air toxics. Considerations for distributed generation projects under REV will be critical to avoid unintended consequences in short-term human exposure at the community or neighborhood level, especially in such high population densities as New York City (NYC), and to prevent backsliding on the gains in air quality and associated human health benefits over the past two decades. More information may be found at: https://www.health.ny.gov/prevention/prevention_agenda/health_across_all_policies/

A new generation of monitoring technologies offers opportunities for improved spatial, temporal, and vertical observation of air quality and meteorology, and can improve exposure assessment. These include measurements by satellites, remote sensing (e.g. from rooftops aircraft or vessels), multiple low-cost monitors, and New York's state-wide MESO-scale NETwork (MESONET) capable of providing high-quality weather and climate data.

Together, these policy objectives, technical innovations in energy technology and management, market changes, and emerging scientific capabilities will present opportunities and potential challenges for air quality and public health in NYS. This Environmental Research Program area will support research to improve the scientific and technical foundation for the key policy-relevant questions in the Environmental Research Plan and described below.

Proposers are requested to consider these energy, environmental, and public health objectives and scientific needs when responding to the targeted research topics in this PON.

Proposals will be considered responsive to this solicitation only if they address the targeted research areas described below. Preferred projects are those that (in no particular order): provide data in a form that is useable by policy analysts and policymakers; utilize research/analytical capabilities in New York State; are comprised of interdisciplinary teams including environmental, health and social scientists, and public policy analysts; and

leverage out-of-State, federal, or other resources to address critical environmental issues in New York State. Projects should support research that helps improve the scientific and technological foundation to address key policy-relevant questions related to air quality and health effects research. They should build upon or coordinate with existing efforts, and not duplicate work by others. When appropriate, selected projects may be asked to work with a Project Advisory Committee assigned by NYSERDA. NYSERDA reserves the right to build teams between selected contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding.

II. Program Requirements—Targeted Research Areas

A. Atmospheric Species—Improve Monitoring, Characterization, Trends, and Understanding of Processes (Topic B.1.b)

Problem Statement

The production, transport, storage, and use of energy results in emissions of many gaseous and particulate chemical species. These emissions may be involved in numerous complicated atmospheric processes, including O₃ production and aerosol formation. Information is needed to characterize atmospheric species, including trace gas concentrations, particle size distributions, and chemical composition of aerosols. The species of interest in the atmosphere include not only those species that are directly emitted or that are formed through atmospheric chemistry, but also intermediate species that can provide insights into the chemistry. Beyond ground-based measurements, the vertical profile and spatial distributions of aerosols and gases are needed for improved understanding of atmospheric processing and air quality management.

Research Focus

- Measure ground-level methane to characterize and estimate methane gradients adequately, identify sources of direct or fugitive emissions, and inform the methane inventory (Topic B.2.a).
- Research multisensory-data analysis from different instruments, which can potentially improve vertical, spatial and temporal resolution of air pollutants such as O₃, NO_x, VOCs, air toxics, GHGs, PM, and quality of aerosol optical data, for estimating coarse/fine-mode fractions, separating absorbing and non-absorbing aerosols, or observing plumes from aloft or from peaking electricity plants, and particle formation events. Remote sensing data such as that measured by satellite or roof-top mounted remote sensing instruments or aircraft can help to provide spatial and vertical pollutant distributions, identify sources, improve emission inventories and evaluate modeled distributions of trace gases and aerosols where monitors are lacking. Intensive satellite observations with very high resolutions focused in on smaller areas such as the NYC region would be considered. Validation measurements, such as those at long-term monitoring sites, should also be performed.
- Develop methodologies for interpreting satellite or remote sensing data in terms of air quality parameters of interest for air planning and public health (surface quantities). For example, aerosol optical depth has been used as a proxy for surface PM_{2.5}, but the correlation between these two measurements is complex and needs to be better understood.
- Measure PM_{2.5} species, particle size, and gases using a high spatial and temporal resolution for better source identification and apportionment, process studies, identification of contributions by major events, support of exposure assessment, health studies, and trend analysis. Samples for analysis may include archived samples from previous studies, or from multiple monitors in a small geographic (e.g. neighborhood- or site-specific) area to maximize research value.

B. Trends Analysis, Model Evaluation, and Accountability Studies (Topic B.1.c)

Problem Statement

Recent trends analyses have demonstrated that SO₂, NO_x, PM_{2.5} and aerosol sulfate have been decreasing significantly over the past decade across NYS due to state and federal air quality and energy policies and changes in energy markets. In contrast, annual ozone has not shown a significant decrease, however there are fewer extreme-high levels in summer and an elongated ozone season starting in spring. At the local level, NYC has experienced very large decreases in SO₂ emissions due to phasing out of #6 fuel oil. Continued studies are needed to assess how air quality regulatory programs, energy policies, and electricity, heating, and transportation market trends impact air quality and public health, especially locally. This will require improved modeling for energy systems, improved air quality modeling, and observations with high spatial and temporal resolution. This is especially important as distributed generation, renewable energy, energy storage, and electric vehicle markets increase. For example, the MESONET provides improved meteorological information, including mixing height, that might be used to improve spatial (vertical and horizontal) and temporal resolution of photochemical and dispersion modeling results for air planning and permitting or distributed generation design.

Research Focus

- Develop improved air quality modeling techniques to support high spatial (horizontal and vertical) and temporal resolution to evaluate local and regional air quality and possibly exposure estimates and health impact analysis. This may be site-specific, neighborhood, or regional scale.
- Develop approaches for evaluation of atmospheric models for improved spatial and temporal resolution to determine:
 - how well models simulate changes in air quality induced by changes in weather versus changes in emissions;
 - how well models simulate the dynamics of the energy markets and changes in emissions;
 - the ability of air quality models to estimate accurately the emissions reductions needed to comply with standards or local air quality goals; and
 - zero state emissions scenarios in the Northeast for ozone and PM_{2.5}.

C. Improved Energy-sector Modeling for Energy and Environmental Policy Evaluation (Topic B.1.e)

Problem Statement

Enhancement of New York's electricity-sector modeling capability is necessary to more fully evaluate the impacts of existing and proposed energy and environmental regulations and policies on the electricity-generation sector. Critical issues include emissions, electric system operation, markets, wholesale prices for energy and capacity, allowance prices, fuel use and diversity, imports and exports, new capacity needs, new technologies, plant retirements, integration of micro-grids, distributed generation, energy storage, electric vehicles, building energy systems, and electric system reliability. It is important to further develop and refine the capability and tools to analyze both generation and transmission systems with high temporal and spatial resolution. This capability will enable the comprehensive analysis of New York policies as well as policies developed at the regional and national levels, informing decision-makers in developing sound energy and environmental policies.

Research Focus

The following are examples of modeling analyses that are eligible under this solicitation:

- Model the impacts of energy and environmental policy proposals on local energy use and resulting emissions, air quality, and public health with high spatial and temporal resolution.

- Model energy and emissions scenarios for wide-scale adoption of new vehicle technologies (electric, hybrid, idle reduction) and in fleets with limited geography such as at airports.
- Improve and apply energy models to better characterize the air-quality impacts of distributed generation and microgrids including when operating in islanded mode or with energy storage at the neighborhood scale. This is challenging due to low stack heights and influence of surrounding buildings and terrain.

D. Emissions Estimates—Better Characterization of Poorly Characterized Sources and Pollutants (Topic B.2.a)

Problem Statement

Much of the current emissions inventory is based on emission factors that in some cases are more than 20 years old. Due to changes in technology, activity patterns, and emissions of interest, there is a need to evaluate the current inventory to identify those source categories that are poorly characterized and to improve the inventory by improving emissions factors and activity data. Recently, there have been important changes in energy technologies, fuels used or their activity patterns, and domestic fuel extraction (current and legacy). Due to regional variations in air quality and source types, and the cost of measuring emission factors, efforts to improve the emissions inventory should consider having a regional focus and involve U.S. EPA and adjacent states.

Mobile Source Emissions: With respect to mobile source emissions, there have been significant improvements in technologies including hybrid and electric vehicles and increases in efficiency and reductions in emissions. Along with technology advances, other factors are influencing transportation emissions over time, such as changing durability of the control technologies and different vehicle operating conditions, which can include the influence of driver behavior and operational (including illegal) bypasses of emissions control equipment during on-road driving.

The dramatic changes in vehicle emissions over time may not be adequately captured in current mobile source emission inventory estimates, such as EPA's Motor Vehicle Emission Simulator (MOVES). An assessment specific to the NYC region is needed to determine the adequacy of the current mobile source NO_x emissions inventory. This is a significant issue since air quality modeling suggests that ground-level ozone is highly sensitive to transportation NO_x emissions.

In addition to NO_x, the rapid decreases in transportation VOC emissions are shifting the urban VOC budget away from energy (e.g., gasoline, diesel) to non-energy related sources (e.g., coatings, adhesives, consumer products, vegetation). If the VOC species mix in and around NYC is changing, it has implications for the reactivity of the evolving VOC composition in the formation of ground-level ozone and organic carbon PM_{2.5}.

Methane: In 2018, the National Academy of Sciences (NAS) Committee has developed a report on anthropogenic methane emissions in the U.S. (funded by EPA, DOE, NOAA, and NASA) and their focus is to improve measurement, monitoring, reporting, and development of methane inventories. There remains a need to combine strategies for improving air quality and reducing greenhouse gases by improving the methane inventory in NY. This need may be addressed by understanding methane emissions as well as identifying the sources of methane emissions and the technology to find and measure these emissions.

Ammonia: While NO_x and SO₂ emissions are decreasing, ammonia emissions are increasing. Major sources in NYS include agricultural and animal operations, fertilizer applications, and urban and regional

transportation sources. An EPA Clean Air Science Advisory Committee (CASAC) panel is currently reviewing the secondary NAAQS for SO_x and NO_x to protect “environmental health” and NO_x would include both oxidized N (NO_y) and reduced N (ammonia and ammonium).

Oil and Gas: Oil and gas use and emissions patterns are changing. Mobile sources were described above but there are residential, commercial and industrial applications using oil and gas fuels that need more complete emissions estimates. There is also domestic oil and gas extraction currently taking place in upwind areas as well as NYS. Fugitive emissions result from fuel storage transport systems (e.g. trains and pipelines), extraction operations and abandoned wells within NYS. Improved estimates of all these emissions are needed.

Research Focus

Research should focus on those emissions inventories with greatest uncertainties. Examples of energy related sources in need of improved inventories are: stationary diesel engines; mobile sources, including passenger vehicles, diesel buses and trucks, non-road equipment; marine vessels; locomotives; stationary commercial and residential boilers and furnaces; electrical generating units (including peaking units), distributed generation units, pipelines, trains, compressor stations, and storage depots. Emissions of primary particle by size, speciated PM emissions, PM precursors, O₃ precursors, VOCs, non-methane organic compounds (NMOCs), air toxics, hazardous air pollutants, methane, and ammonia are high priorities for improvement. This characterization includes understanding emissions outside the average operation such as upsets, start-ups, and shut-downs. In addition, emissions from back-up generators need better characterization because of their use on high electricity-demand days. Satellites and other remote-sensing techniques may provide improved measurements of temporal variability in emissions and top-down estimates for comparison with bottom-up emission inventory estimates. Intensive satellite observations with very high resolutions focused in on one area such as the NYC region could be considered.

Mobile Sources: Investigate the adequacy of mobile source emission inventories currently used by air quality planners to appropriately estimate NO_x, VOC and other emissions (elemental carbon, air toxics) from the transportation sector. Also refine estimation of major sources like seaports and airports in New York City (NYC) or NYS. Potential questions to address include:

- Do field measurements and/or fuel-based estimates of NO_x emissions in the NYC region reasonably agree with estimates from MOVES or other models used in air quality modeling?
- If transportation VOC emissions have significantly declined, are the other non-energy VOC sources adequately quantified in emission inventories used for air quality planning?
- Can current mobile source inventory models such as MOVES adequately capture prospective pollution changes from transitioning the mobile source fleet in the NYC region to electric and alternative-fueled vehicles?

Methane: Develop a refined gridded bottom-up methane inventory for NYC, NYS and the region by source categories (natural gas and petroleum systems, waste water treatment facilities, enteric fermentation and manure management, other agriculture processes, soils, forest sinks and wetlands, waste landfills, abandoned wells, other land management techniques, offset credits, etc.). Top-down studies (e.g., aircraft, satellites) could be used to reconcile top-down and bottom-up approaches. In addition, identify reasonably available methane detection technology and develop a list of oil and gas sector equipment and which technology may be used to identify leaks from that equipment. Furthermore, differentiate between leak detection technology used to identify leaks vs. technology used to measure leaks.

Ammonia: Develop a robust state and regional level NH₃ inventory. Top-down studies (e.g., aircraft, satellites) could be used to reconcile top-down and bottom-up approaches.

Oil and Gas: Develop an updated inventory for emissions from oil and gas extraction, storage and transport systems including pipelines, trains, compressor stations, and distribution systems. Beginning with the sources covered in the EPA oil and gas tool, ensure that inputs and assumptions are correct and refine data such as components per well (i.e., separators). Categorize activities with the appropriate source classification codes (SCC) and assign emissions (methane, VOC, toxics) to each SCC. Furthermore, it is important to distinguish emissions on a county and basin level.

- Useful inventory types
 - Pollution emissions inventory – which pollutants and at what rate out of each process, characterization of leaks.
 - Equipment inventory – for example, how many pneumatic devices? Driven by gas or air? Low bleed vs. high bleed?
- An assessment of “small” facilities vs. “large” facilities. Several studies show a phenomenon called a “fat tail” meaning most emissions come from a limited number of facilities which are typically smaller operations.
- Determine the extent of emissions after the city gate (i.e., going to the homes and businesses) vs. before the city gate.

Emissions estimates for oil and gas proposals should plan to be completed in no more than one (1) year from project start due to the immediate information need.

E. Accountability Studies and Health Impact Assessments (Topic B.3.c)

Problem Statement

Studies are needed to examine whether emerging energy technologies and environmental policies to reduce emissions yield measurable improvements in air pollution concentrations, exposure, and by extension, human health. Regulatory programs are focused on reducing source emissions. However, there are also emerging sources such as distributed generation technologies that may decrease or increase PM, CO, NO_x, SO₂, or air toxics exposure. Accountability studies will assess policies that alter emissions, ambient concentrations, personal exposures, and health effects. Health impact assessments may be performed to determine the effectiveness of a site-specific change in energy technology, or broader energy or environmental policy or regulatory actions on a local or regional level.

Research Focus

- Perform exposure assessments or health impact assessments of locations or demonstration projects with potentially significant changes in emissions such as distributed generation with a microgrid (e.g., NY Prize), distributed generation such as large-scale renewable (solar, wind), energy efficiency, pedestrian/green vehicles zones, or where older technology has been or may be displaced (for example coal-fired power plants or “peakers”).
- Develop a better understanding of the historical trend in atmospheric formaldehyde and other air toxic concentrations. New York City and State monitoring indicates that while many pollutants of concern have been decreasing over time as a result of pollution control programs and shifts in energy use, one

important air toxic, formaldehyde, appears to be increasing. The reasons for this trend are not fully understood. One possible explanation related to energy trends is a postulated increase in secondary formation of formaldehyde as a by-product of increased natural gas and biofuel combustion. An alternative (or additional) explanation is that secondary formaldehyde formation in the atmosphere has become more rapid in recent years because of NO_x reduction programs. Formaldehyde can also be a useful indicator species in conjunction with NO_x for assessing the relative effectiveness of NO_x versus VOC control measures, and in evaluating changes in atmospheric chemistry over time as a result of pollution control programs. Research questions to address include:

- o Why have formaldehyde concentrations increased in the New York City region while many other air pollutants are decreasing?
- o Do measured trends in formaldehyde concentrations relative to NO_x levels provide information to air quality planners on the effectiveness of past pollution control programs, and give an indication of their future effectiveness?
- o Will increased natural gas combustion in distributed generation systems (e.g., microgrids) in the NYC region have implications for public exposure to formaldehyde?

F. Development of methods to inform the monetization of air quality and public health benefits due to clean energy (Topic B.3.f)

Problem Statement

Increasing clean energy generation has important public health benefits due to a reduction in air pollution. Recent studies have examined the monetization of health impacts in relation to new national and regional energy policies. For example, Buonocore et al. 2016 modeled a national policy scenario resembling the U.S. Environmental Protection Agency's Clean Power Plan and estimated \$29 billion in total national health benefits in 2020 with \$1.6 billion in NYS alone.¹ In 2017, another study analyzed the public health impacts of the Regional Greenhouse Gas Initiative (RGGI) in 2009-2014 and estimated the value of its health and productivity benefits at \$3.0-\$8.3 billion, with NYS among the highest states receiving the benefits.² Additionally, Millstein et al. 2017 evaluated wind and solar climate and air-quality benefits from 2007-2015 in ten different regions of the United States. The study found that the benefits vary dramatically by region and over time, with cumulative wind and solar air-quality benefits of 2015 US\$29.7–112.8 billion mostly from 3,000 to 12,700 avoided premature mortalities, and cumulative climate benefits of 2015 US\$5.3–106.8 billion.³

Specifically, in NYS and guided by the REV principles, the Value of Distributed Energy (VDER) Generation Phase One Decision was released by the NYS Public Service Commission in March of 2017, and the Phase One Implementation Order was released Sept 14, 2017. This new methodology takes the first step in moving beyond Net Energy Metering (NEM) to a more accurate valuation and compensation of Distributed Energy Resources. VDER factors include the price of the energy, the avoided carbon emissions, the cost savings to customers and

¹ Buonocore J. J., Lambert K. F., Burtraw D., Sekar S., Driscoll C. T. 2016. "An analysis of costs and health co-benefits for a U.S. power plant carbon standard." PLoS ONE 11(6):1-11.

² Abt Associates. 2017. "Analysis of the Public Health Impacts of the Regional Greenhouse Gas Initiative, 2009–2014." Available at: <http://abtassociates.com/AbtAssociates/files/7e/7e38e795-aba2-4756-ab72-ba7ae7f53f16.pdf>

³ Millstein, D., Wiser, R., Bolinger, M. & Barbose, G. The climate and air-quality benefits of wind and solar power in the United States. *Nat. Energy* 2, 17134 (2017).

utilities, and other savings from avoiding expensive capital investments.⁴ As a result, there is a need to monetize the avoided air emissions and public health impact from the changes in energy sources in NYS. This will require new methods to perform energy and air quality modeling that allow health benefits analysis at much finer-scale than previously (county-wide) with higher time resolution than before (annually).

Research Focus

Research is needed to quantify and monetize the air quality and health benefits of energy policies including but not limited to renewable energy, energy efficiency, and energy storage. This topic is related to Topics B and C above that improve air quality modeling and energy modeling respectively. Projects are needed to develop more refined tools and incorporate NYS-specific data with increased spatial and temporal resolution to improve monetization estimates of the public health benefits for reduced air pollution due to clean energy. For example, there is a need to quantify and monetize the air quality and health benefits of deploying renewable energy and energy storage technologies rather than dispatching higher emitting peaking power plants during the summer in highly populated areas such as NYC. Projects could also be developed to inform the VDER process.

III. Proposal Requirements for Targeted Research Areas

Proposers must submit a complete proposal in either PDF or MS Word format. Proposals must be submitted as a single file, inclusive of all supporting documents. 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 NYSDERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

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, "PON 3921" and the page number.

Proposals should follow the format below and provide sufficient and succinct information to complete the required descriptions and answer the questions described in the Proposal Evaluation criteria listed in Section IV. The preferred length of each proposal section is shown. **Proposals are subject to return without evaluation if more than 17 pages are submitted** (not including Budget Forms (Attachment A), one-page letters of commitment, and resumes), or if a font smaller than 11 point is used. **Proposers may contact Ellen Burkhard at 518-862-1090 ext. 3332 before preparing a proposal to discuss proposal requirements.**

Proposal Format: Proposals must be submitted as a single file, inclusive of all supporting documents. The file should be 100MB or less in file size.

PART 1: Project Summary (Four pages total)

⁴ For more information, visit <https://www.nyserda.ny.gov/vder>

- A. Project Summary and Policy Relevance: Summarize the proposed project and its policy implications. Clearly indicate how each of the main goals of the project relates to one or more of the Targeted Research Areas. Describe any energy, air quality, or public health policy issues this research would potentially inform. Detail the project goals and major objectives. Explain how the project results will address, in a timely manner, a problem/opportunity facing New York State with respect to pollutants associated with the generation, transport, use, storage or distribution of energy. Coordination with other national, state or local cooperative environmental research initiatives is desirable. Explain how the project will make use of other relevant data and coordinate with other initiatives where possible to provide maximum value to New York State. (Two pages)
- B. Summary of Project Methods: Summarize the proposed project methods and overall research design. Explain why the equipment, models, methods, and other aspects of the work are expected to be capable of meeting objectives. Describe the extent to which these have been accepted by the scientific community and policy making organizations, or otherwise demonstrated to be valid. The methods must be outlined in detail and clearly designed to meet the project objectives including spatial and temporal resolution. The methodology for statistical analysis of the data from all aspects of the project must be clearly presented. (Two pages)

PART 2: Statement of Work (Seven to nine pages total + Budget documents not included in page count)

- A. Tasks: The Statement of Work is the primary contractual document that identifies the task sequence, deliverables, and provides the basis for progress payments. It is an action document, divided by the individual tasks or procedures required to accomplish the project objectives. Each task should be identified with a description of its objective, how it will be performed, and the anticipated deliverables and milestones. As appropriate, tasks should include a clear description of general operating procedures, quality control and quality assurance measures, analytical procedures, data analysis, evaluation, and statistical analysis to be used to optimize the quality of the data and project results. (Five to seven pages)
- B. Information Transfer and Dissemination Plan: The Statement of work must include a task for reporting and information transfer. The following baseline reporting and information transfer work will be required for each project and should be considered in allocating resources for this task: presentations at meetings and completing monthly or quarterly progress reports including a substantive description of project progress and of successful data capture and quality control, a comprehensive final technical report, and articles for submission to peer-reviewed journals. In addition, each principal investigator will be required to prepare a short paper summarizing the usefulness of their research findings for environmental policy formulation. Principal investigators are strongly encouraged to collaborate with social scientists/policy analysts in preparing these policy papers and a technical editor for all final documents. Findings-to-date shall be presented to NYSERDA's Environmental Research Program Advisory Group and invited guests at annual meetings (in Albany, NY) arranged by NYSERDA staff. Some projects may be assigned a Project Advisory Committee by NYSERDA. NYSERDA reserves the right to build teams between selected contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding.

Additional methods of information transfer and reporting may be proposed for involving pertinent policy makers or regulators and other target audience representatives during the project and for using the anticipated project results to achieve projected public benefits. Efforts to increase access to, or use of data collected, is encouraged. Outreach or education about project findings is also encouraged. (One Page)

- C. Master Schedule: Complete a schedule showing start and completion times for all major tasks, in terms of months after project initiation. Include major milestones and meetings, tests, demonstrations, reports, and other key deliverables. The Schedule should be realistic and reflect the nature of environmental research. (One Page)
- D. Budget Form: Complete the attached Budget Form (Attachment A) for the entire project, including any in-kind contributions and other cost-sharing. The degree of cost-sharing will be considered in the evaluation of proposals. **Cost-sharing of at least 25% is preferred.** Leveraging of other research funding is preferable. In-kind cost-sharing is acceptable. Proposers must provide sufficient detail in the supporting schedule for each cost element, its description, and amount to justify the budget and allow for evaluation. (Not included in page count).

PART 3: Supporting Documentation (Three pages total, + supporting documents not included within the page count)

- A. Management Plan and Qualifications:
- Organizational Chart - Prepare an organizational chart listing all key personnel by name. The role for each of the team members must be clearly described in the proposal. Include any subcontractors, postdoctoral or graduate students if known, and other sponsors involved in the project, showing their roles and responsibilities. (One page)
 - Tasking Chart - Prepare a tasking chart, describing approximately in hours or days the effort contributed by each of the key personnel to each task and the total effort. (One page)
 - Related Projects – Provide a sample of related projects that have been undertaken by the proposer and/or subcontractors. For each project, provide a brief summary, describing its title, scope, funding amount and client contact numbers. NYSERDA may contact listed clients. (One page)
 - Resumes - Submit relevant portions of resumes of all key project personnel, including those of proposed subcontractors, and postdoctoral or graduate students if known. Include education and experience that are relevant to the proposed work. (One page each - not included in page count)
- B. Letters of Commitment or Support: If you are relying on other organizations or businesses to do work, provide services, equipment, or data, or share in the non-NYSERDA cost, include a letter from that organization or business describing their commitment. If the use of unpublished data from other researchers is necessary for the project to be successful, letters of support showing the availability of these data must be included. **Absence of letters of commitment or support will be interpreted as the proposer not having commitment/support from those parties.** (One page each - not included in page count)
- C. Cost Sharing: A cost-share of at least 25% of the total project cost is preferred. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts that have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. If applicable, show the cost-sharing plan in the following format (expand table as needed, maximum 1 page).

	Cash	In-Kind Contribution	Total
NYSERDA	\$	\$	\$
Proposer	\$	\$	\$
Others (list individually)	\$	\$	\$
Total	\$	\$	\$

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.
- Provide a detailed budget for the overall project.
- Include a detailed budget for each of the subcontractors/consultants that justifies the amount proposed.

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.

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. Publications, presentations, posters, and briefings are common metrics for projects supported by this PON. 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: Sample Metrics Reporting Guides for the metrics that you will be expected to provide and the reporting duration. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

IV. Proposal Evaluation

Proposals that meet Proposal requirements will be reviewed by a Technical Scoring Committee using the Evaluation Criteria below. **If an investigator(s) identified in a proposal is an investigator on one (1) or more current or previous NYSERDA-funded projects, performance on these projects will be considered in the evaluation of the current proposal.**

A. Technical Evaluation Criteria: (listed in order of importance)

- a. **Usefulness and Value of Project Results** – Does the project indicate how each of the main goals of the project relate to one or more Targeted Research Areas? How useful are the project results expected to be in validating or improving New York State policies, regulations, impact assessments, models, or mitigation methods? Will the results be available in a timely manner? To what extent will the project use and integrate other relevant data and coordinate with other research/monitoring initiatives (e.g., with field sampling and data analysis) to provide maximum value to New York State?
- b. **Soundness of Project Methods and Research Design/Statement of Work and Schedule** – How suitable are the proposed project methods and overall research design for meeting the project objectives and yielding accepted results? How comprehensive, realistic, and explicit is the Statement of Work with respect to the project objectives and proposal requirements? Are specific measurable targets of success provided where applicable? Are the Tasks reasonable and clearly described? Are the methods outlined in detail and clearly designed to meet the project objectives? Are the deliverables for each task clearly presented? Is there a coherent plan for synthesizing the data set?
- c. **Management Plan and Qualifications** – How well has the proposer organized a management plan and a project team with the necessary educational, technical, operations, technology transfer, financing, and administrative experience for successfully completing the project? Are all roles and responsibilities clearly defined? Does the team include partnerships with other research groups? Has an interdisciplinary team been assembled including environmental scientists, social scientists/public policy analysts, and technologists, as appropriate? How many of the team members are located in New York State? Have letters of support demonstrating the availability of data and agreement to participate been included?
- d. **Communication of Results** – How promising is the reporting and information transfer plan for successfully using project results to realize the potential benefits of the project? Has the proposer described a comprehensive final technical report, and articles for submission to peer-reviewed journals? Does the proposer have a well-crafted plan and partnerships to prepare a short paper summarizing the usefulness of their research findings for environmental and or energy policy formulation and identified an interested audience? Has the proposer included a review of the draft final report by a technical editor? Has the proposer planned to present results to NYSERDA's Environmental Research Program Advisory Group and invited guests at annual meetings (in Albany, NY) arranged by NYSERDA staff? Has the proposer acknowledged the project may be assigned a Project Advisory Committee by NYSERDA?
- e. **Cost Criteria** – How justifiable and reasonable are the overall costs compared to the expected usefulness of the project results and the level of effort and duration of the project? How justified and reasonable are the proposer's cost allocations and co-funding contributions (cash, in-kind services, etc.)? To what degree does the proposal include meaningful cost-sharing from other key organizations important for the success of the project? Is there a detailed budget provided for the overall project including sufficient detail in the supporting schedule for each cost element, its description, and amount to justify the budget?

B. Other Considerations: Projects will also be reviewed to determine whether they reflect the overall mission of NYSERDA, including:

- The balance among projects of long- and short-term benefits and risk/reward relationships, and whether similar projects are presently or have been previously funded.
- The general distribution of projects of diverse topics related to program goals.
- The ways in which the proposed project fits with currently funded projects. (Attachment D)
- The ease of measuring project success in quantifiable ways.
- If applicable, the responsiveness of the proposer in conducting other NYSERDA-funded work.

II. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

Contract Award – NYSEDA anticipates making multiple awards under this solicitation. NYSEDA anticipates a contract duration of one to three years, unless NYSEDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 12 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

Accessibility Requirements – If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSEDA will post to the web, the following language must be included. NYSEDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSEDA's Accessibility Requirements](#).

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

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

attention of 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.

III. Attachments:

Attachment A – Budget Form

Attachment B – Sample Agreement including Exhibit A - template statement of work

Attachment C – Air Quality and Health Effects Publications List

Attachment D – Current NYSERDA-funded energy-related air quality and health effects research projects

Attachment E – Sample Metrics Reporting Guide



Clean Heating and Cooling Community Campaigns

Program Opportunity Notice (PON) 3922

Up to \$2 Million Available

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

Proposals Due: October 30, 2018 by 3 PM Eastern Time

Program Summary: This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3922, the Clean Heating and Cooling Community Campaigns Initiative, seeks proposals to implement community-based outreach, education, and bulk procurement campaigns for clean heating and cooling (CH&C) technologies. Up to \$2 million is available through this PON. Similar to community campaigns used to support the adoption of solar photovoltaic technologies (i.e., “Solarize” campaigns), these campaigns aim to increase consumer awareness of CH&C technologies, reduce installed costs, and jump-start CH&C markets in local jurisdictions. Individual awards will not exceed \$500,000. Funding through this solicitation will offset costs for a paid campaign director, outreach initiatives, campaign events, volunteer development, increasing low-to-moderate income (LMI) household participation, and workforce development and training. NYSERDA reserves the right to add or reduce the term and/or funding to awards.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link “[Application Instructions and Portal Training Guide](https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx) [PDF]” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting program manager Scott Smith (Designated Contact) at (518) 862-1090, ext.

3344 or by e-mail scott.smith@nyserda.ny.gov, or project manager Sue Dougherty (Designated Contact) at (518) 862-1090, ext. 3127 or by e-mail sue.dougherty@nyserda.ny.gov. If you have contractual questions concerning this solicitation or cannot file through on-line submission, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or Nancy.Marucci@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3 PM Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3pm Eastern Time, files in process or attempted edits or submission after 3pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

The heating and cooling of buildings is responsible for approximately 32% of all greenhouse gas (GHG) emissions in New York State. Demand for cooling will grow as our climate continues to warm. In support of New York State's nation-leading GHG emissions reduction goals—targeting 40% reduction of GHG emissions by 2030, and 80% by 2050—the New York State Energy Research and Development Authority (NYSERDA) has developed an integrated, long-term policy approach to addressing emissions from the heating and cooling sector.

Today, CH&C technologies occupy a niche position in the State's heating and cooling market. Several financial and non-financial barriers currently impede widespread market adoption, such as high upfront cost, supply chain barriers, consumer confidence and awareness barriers, and limited availability of affordable finance. Through this initiative NYSERDA intends to reduce these barriers by implementing community campaigns to promote local clustering of CH&C installations. Please refer to the [Renewable Heating and Cooling Policy Framework](#) for more information on applicable CH&C technologies, their market status, barriers and planned policy interventions.

Clean Heating and Cooling Community campaigns will be locally organized community outreach efforts at the county, city, town, borough or regional level aimed at getting groups of homes and small businesses to install CH&C technologies. Through a Campaign, the Community will (1) select one or more of the CH&C eligible technologies (see Section II) to promote; (2) organize to

deploy outreach and marketing strategies to educate the local residents and businesses on the benefits of the selected technology(ies); (3) competitively select one or more contractors to install CH&C for residents and businesses at discounted rates; and (4) provide reports to NYSERDA on the success of the campaign.

Community-based outreach, education, and bulk procurement campaigns, such as Solarize for PV solar technology, have been successful in reducing customer acquisition (and overall installation) costs, increasing consumer awareness of renewable technologies, and jump-starting solar PV markets in local jurisdictions. Since 2015, NYSERDA has successfully run a Solarize program as part of NY-SUN in collaboration with local governments, school districts, and other community organizations across the state.

The goals of Clean Heating and Cooling Community Campaigns include:

- Increase education and awareness of CH&C technologies
- Reduce costs associated with the purchase and installation of CH&C projects
- Increase local adoption of CH&C technologies
- Grow the available trained workforce
- Increase participation of LMI households
- Identify campaign characteristics and approaches that are critical to success and should be replicated in other clean heating and cooling community campaigns

Funding is available for the following categories:

- Category A: Community Campaigns (required)¹
 - Multiple awards of up to \$50,000 per campaign.
Maximum of four campaigns per Community
- Category B: Workforce Development and Training (optional)
 - Multiple awards of up to \$50,000 per year for each Community
- Category C: LMI Household Participation (optional)

¹ Applicants awarded funding for Category A under PON 3723, but not awarded Category B and/or Category C, may reapply to Category B and/or Category C under this PON without reapplying for Category A.

- Multiple awards of up to \$250,000 each

A proposing team or organization is referred to as a “Community” in this PON. Only Communities selected under Category A are eligible to receive awards under Category B and Category C. Contract duration will be between 2 and 5 years.

Communities that applied to the PON 3723 solicitation that were not selected may apply to this solicitation. Communities that were selected for PON 3723 Category A funding but not for Category B or Category C funding may reapply for funding for those categories.

NYSERDA will provide the Communities with the following assistance:

- Direct financial support for multiple Communities to launch multi-year campaigns to select qualified installers and negotiate a reduced price for campaign enrollees.
- Feedback to Communities on plans for working with local financial institutions to develop point-of-sale financing offers and universities to develop workforce development and training programs for Community campaign participants.
- A Technical Assistance Contractor to help select installers and provide technical support to Communities during implementation of the campaign, e.g., assistance in developing the content for marketing and outreach materials, training for Community volunteers, inspection departments on the selected CH&C technologies, program administration, tracking, and analysis.
- Template documents for RFPs, installation best practices, and to assist marketing and outreach efforts. All contractors are expected to benefit from reduced customer acquisition costs, local marketing support, volume discounts, and other economies of scale. Some of the marketing support will come from leveraging the infrastructure that may have been developed in the Community during a previous Solarize campaign. While the CH&C templates and toolkits are still under development, communities can visit NYSERDA’s Solarize website [here](#) to get a sense of what will be made available. NYSERDA will collaborate with selected proposers on development and finalization of CH&C templates and toolkits.

NYSERDA will be hosting a webinar for Proposers on September 25, 2018 at 1PM ET. Proposers who intend to participate must register [here](#) by 12PM ET on September 24, 2018. On the webinar, NYSERDA will review PON 3922 and proposal requirements.

NYSERDA also plans to schedule local meetings. Please see the [funding opportunities page](#) under PON 3922 for details on a meeting in your community.

II. Program Requirements

Eligibility

The community where the campaigns will be launched must be a county, city, town, borough, neighborhood (e.g. Flatbush) or region outside of Long Island with at least 40,000 residents.

Eligible Proposers

- Community based organizations (CBO)²
- Municipalities. As described further below, even if the municipality is not the proposer, it is required that the county, city, or borough government will be a supportive resource for the Community volunteer team during the campaign.

Team Members

Teaming is strongly encouraged and will increase the likelihood of an award. Team members recommended for partnership with the eligible proposers listed above include, but are not limited to:

- Local financial institutions
- Local education institutions which could include, K-12 schools, 2- or 4-year, public or private college or university
- Local utilities
- Chamber of commerce

Category A: Community Campaigns

Each Community will recruit and hire or assign a Campaign Director. The Campaign Director (see below) will work with other team members on the elements of successful community campaigns listed below. The Campaign Director should be committed at least half time to the campaign. Proposers

² For the purpose of this funding opportunity, a CBO is defined as a public or private nonprofit organization that provides programs or services to address energy, environmental, housing, health, education, or other human service needs at the local level, has previously run Solarize campaigns or otherwise represents a Community in an organizing or advocacy role.

should enumerate their community specific approach to each category. In each category, a Community is also encouraged to propose activities additional to what is listed here.

Eligible Technologies

The Community will select at least one of the following CH&C technologies to promote as part of the CHCC initiative. Selecting multiple technologies provides residents and small businesses the opportunity to select the CH&C technology that best fits their needs and budget.

- **Air-Source Heat Pumps (ASHPs):** ASHPs provide space heating and cooling to residential and commercial buildings. ASHPs can be an efficient source of heating and cooling in cold climates like New York. Only cold-climate ASHP models (as defined by the Northeast Energy Efficiency Partnership) can be promoted by Communities through this program. For more information on this technology, click [here](#). Eligible heat pump technologies could also include heat pump water heaters (HPWHs). Certain HPWHs, while not classified by any entity as cold-climate capable, are certified by ENERGY STAR® and would be allowable through this program. To learn more about these models, click [here](#).
- **Ground-Source Heat Pumps (GSHPs):** GSHPs (also referred to as geothermal heat pumps) provide space heating, space cooling, and, in some cases, hot water for residential and commercial buildings. GSHPs use an indoor heat pump unit and a heat exchanging ground loop buried underground (or underwater) to transfer heat between the ground and the building. GSHPs typically use forced air distribution, so Communities with a prevalence of buildings with duct work or new construction efforts may be good candidates. For more information on this technology, click [here](#).
- **High Efficiency Low-emissions Biomass Heating:** High-efficiency, low-emission wood heating systems provide a cleaner way to use wood for heat than traditional wood stoves and boilers. They can often integrate into existing heating distribution systems and can fulfill a building's heating and hot water needs. Because these advanced technologies are more efficient and cleaner burning, they burn less fuel and often save building owners money while reducing associated negative environmental impacts. The technologies eligible under this program include:
 - Wood pellet boilers with thermal storage
 - Advanced cordwood boilers with thermal storage

- Wood pellet stoves

For more information on this technology, click [here](#).

- **Solar Heating and Cooling:** Solar heating & cooling (SHC) technologies collect the thermal energy from the sun and use this heat to provide hot water, space heating, cooling, and pool heating for residential, commercial, and industrial applications.

Many solar heating and cooling installations in New York State and across the Northeast are designed and sized to serve hot water only, referred to as solar water heating or solar hot water (SHW). When both hot water and space heating uses are deployed, the system is referred to as a “solar combi-system.” Buildings that do not have sufficient roof space for a solar PV system may still have enough roof space for a solar hot water system.

Solar air heating systems use solar energy to heat indoor spaces in commercial applications. Outside air is drawn in through the system and heated anywhere from 30-100 degrees above ambient before being ducted into the building’s conventional HVAC system. The technology is also easily applied to municipal buildings such as affordable multi-residential housing, water treatment plants, schools, hospitals, vehicle maintenance garages, airports, universities and recreation facilities.

Like solar photovoltaic (PV) systems, the loss of solar insolation during the winter significantly affects production; thus, a secondary heating source is usually necessary during the winter. For more information on solar heating and cooling, click [here](#).

To optimize the performance of a clean heating and cooling system, it is important to ensure that the building envelope, distribution system, and existing heating and cooling system are considered when determining the type of system and size of system necessary to meet the heating and cooling requirements of the building. Air sealing,³ insulation, and duct sealing can reduce heating/cooling loads and improve the overall energy efficiency of buildings and should be addressed when installing a new clean heating and cooling system.

³ Air sealing can be blower door-assisted to identify sources of drafts and leaks and can include weather-stripping or caulking of doors, windows and skylight; and the sealing air leaks around recessed light fixtures, plumbing or electrical penetrations, attic covers, and other points of air infiltration of the building.

Community campaigns must address the need to incorporate building envelope and duct improvements into the engineering and installation of clean heating and cooling systems by:

- promoting NYSERDA and utility energy efficiency audit and incentive programs;⁴
- selecting building science professionals⁵ to work with CH&C installers to provide comprehensive energy assessments to identify opportunities to improve the overall efficiency of the building;
- educating residents and businesses on the importance and benefits of addressing the building envelope or distribution system before sizing and installing clean heating and cooling technology, as well as conducting education on how to effectively use heat pumps for supplemental heating and cooling.

The Technical Assistance provider will work with communities to determine the most effective approach for addressing building envelope and distribution system improvements into their campaigns, based on the objectives of the campaign and characteristics of the community. In addition, the Technical Assistance provider will help communities to identify programs and resources, educational materials, and other needs necessary to effectively incorporate building science considerations into the campaigns to ensure that installed clean heating and cooling systems are efficient and deliver the expected energy savings and environmental benefits.

Installer Selection

- Communities will be required to use a NYSERDA provided Request for Proposals template for installer selection. The selected installers will offer discounted pricing to participating Communities. As part of the installer selection process, selected Communities will appoint a Community review team, comprised of Community members and a Technical Assistance Contractor that NYSERDA will provide. The Community review team will

⁴ Including the NYSERDA Home Performance with ENERGY STAR and Multifamily Performance Programs, as well as appliance and equipment rebates from utilities.

⁵ NYSERDA works with a network of certified residential and commercial contractors and engineering firms that provide comprehensive energy assessments and engineering studies.

evaluate qualified installers' proposals that have met threshold technical requirements.

- In the case of small companies that would not have the capacity to apply individually, multiple installers may partner.
- The Community will receive assistance from the Technical Assistance Contractor (see below) to support the bidding and registration process.

Outreach, Education, and Marketing

- Campaign events: Promotion and delivery of a series of events in the Community to educate residents and businesses on the benefits of CH&C technologies and spur enrollment. Campaigns should consider partnering with NYSERDA's local Clean Energy Communities Coordinators. You can find a list [here](#).
- Marketing and social media: Using the tool kit provided by NYSERDA (see below), develop and implement a plan to market the campaign.
- Open houses: Identify existing CH&C systems in the Community and arrange tours for enrollees of local CH&C systems.

Enroll, Track, and Close

- Enrollment and tracking: The Community will use a web-based system for enrollments and for tracking enrollee information including, but not limited to basic building/customer information, enrollment date, installer bids, contracting date, installation date, and inspection date.
- Campaign close: The Community will set a deadline for campaign enrollments.
- Reporting and lessons learned: Communities will provide monthly reports to NYSERDA on campaign activity. After the campaign is finished, the Community will work with the Technical Assistance Contractor to summarize the results, provide data on each installation to enable energy impact calculations, and develop lessons learned for future campaigns.

Category B: Workforce Development and Training

In early-stage CH&C markets like New York State, a lack of capacity to manufacture, distribute, design, install, and service reliable, high-quality, and standardized CH&C systems is a significant barrier to market scale. Many Heating, Ventilating, and Air Conditioning (HVAC), Solar Hot Water (SHW) and GSHP contractors have a limited understanding of how to sell, install, or price CH&C technologies and lack the proper training to educate consumers on

lifecycle product performance and long-term cost savings potential. Similar challenges are seen among traditional designers, architects, and engineers.

Among the Communities selected under Category A through this PON and through previous PON 3723, additional awards will be made to Communities proposing a strategy to develop the local CH&C workforce. In its proposal, the Community must identify skill gaps in the local CH&C workforce and provide justification for the award. The Community should collaborate with experienced training partners. Preference will be given to Communities that partner with NYSERDA training partners. A list of NYSERDA training partners can be found [here](#). Should the Community partner with a training partner that is not on this list, the Community must demonstrate in its proposal its partner's qualifications and experience in workforce development and training.

Preference will be given to an existing, vetted curriculum. If a new curriculum is proposed, the Community should justify the need and be prepared to support the accuracy and timeliness of proposed content.

Among the Communities selected under Category A through this PON and previous PON 3723, NYSERDA will award up to \$50,000 to Communities that propose effective and targeted workforce development and training initiatives. Possible examples of workforce development and training strategies include:

- Partner with local community or technical colleges, or regional Boards of Cooperative Educational Services (BOCES), with HVAC Certification programs to coordinate apprenticeships and/or on the job training programs with CH&C technology installers.
- Work with local K-12 schools to incorporate Clean Heating and Cooling into curricula and learning by doing programs.
- Coordinate with universities to train students to become International Ground Source Heat Pump Association (IGSHPA) Certified Geothermal Inspectors.
- Plan IGSHPA certification courses for local uncertified contractors.

Category C: LMI Household Participation Conceptual Proposal

Nearly half of the households in New York State have low- to moderate-incomes⁶ and more than 2.3 million of these households have annual incomes below 60

⁶ In the context of New York State energy programs, a low-income household is defined as having an annual income of 60% of SMI, or approximately \$53,071 for a family of four. A moderate-income household has an annual income above 60% of SMI, but below 80% of the Area Median Income (AMI) or SMI, whichever is higher. 80% of the SMI is approximately \$70,761 for a family of four.

percent of the state median income (SMI) and are eligible for energy bill payment assistance and no-cost energy efficiency and weatherization services. The financial burden of paying monthly energy bills can leave low- to-moderate-income New Yorkers stretching every dollar. A low-income household's energy burden⁷ can be more than 20 percent, compared to less than 6 percent energy burden for higher-income households.

Governor Cuomo's Reforming the Energy Vision (REV) initiative will provide New York State consumers and communities with new opportunities⁸ to participate in their energy future by enabling the deployment of distributed energy resources (DER)⁹, such as CH&C projects. While these opportunities will provide consumers and communities with greater control over how they consume and source their energy, LMI communities often lack the technical expertise and financial resources to plan for, develop, and implement clean energy projects, preventing these communities from fully benefiting from the opportunities provided by REV and necessary to realizing its success.

LMI participation in community campaigns, such as Solarize, historically has been low due to higher barriers to installing clean energy faced by LMI households such as awareness of the benefits of clean energy technologies and limited financial resources. In certain regions or communities, such as where access to natural gas is limited, LMI households could benefit from increased access to CH&C technologies, reducing the risk of their exposure to volatile energy costs. The selected Community will be responsible for income

⁷ A household's energy burden is defined as the ratio of energy costs to income.

⁸ Through the REV initiative, the NYS Public Service Commission (PSC) is considering opportunities to create access to community distributed generation (CDG) project for low-income customers through Case 15-E-0082. In 2015, through Case 14-M-0024, the PSC enabled Community Choice Aggregation (CCA), which allows municipalities to procure the total amount of energy and related services being purchased by local residents or small businesses, effectively giving them more control to lower their overall energy costs. Through the value of DER proceeding, case 15-E-0751 the PSC is considering the compensation structure for DER in New York State. Under the Clean Energy Fund, which is a pillar of REV, NYSERDA has a strong commitment to provide access to clean energy solutions and energy affordability to LMI households through a series of initiatives that provide financial incentives for clean energy projects, as well as address the non-monetary barriers that can prevent clean energy projects from occurring.

⁹ DER is used to describe a wide variety of distributed energy resources, including end-use energy efficiency, demand response, distributed generation, and distributed storage.

determination when it implements its pilot project and should explain the basis for such determination in its proposal.

Communities are encouraged to propose a strategy to increase participation of LMI households in campaigns. Among the Communities selected under Category A through this PON and previous PON 3723, multiple awards of up to \$250,000 may be made to Communities that propose effective ways to increase participation of LMI households in the campaign. This proposal does not need to be a detailed program description, but rather a two- to four-page proposal concept for how to enable participation of LMI households. NYSERDA may decide to work with the awarded proposer(s) to modify elements of the proposal to address state policy objectives related to energy affordability and access to distributed energy resources (DER) for LMI residents.

Examples of possible pilot projects to increase participation of LMI households include:

- Develop a pilot for one or more mobile home parks without access to natural gas to address air sealing and install heat pumps.
- Coordinate energy efficiency projects and CH&C installations that are tailored to LMI households, housing facilities, and apartment buildings.
- Partner with a philanthropic entity to offer reduced cost or credit enhanced financing to LMI households to reduce energy burdens.
- Identify opportunities to offer CH&C technologies as a long-term solution for households that typically rely on energy assistance programs such as Home Energy Assistance Program (HEAP).
- Test the affordability impacts of the incorporation of CH&C technologies as supplemental heat.

CH&C systems should only be proposed for locations where there is a clear economic benefit to the LMI household. Pilot projects should address critical market barriers for LMI households including:

- Deferred maintenance
- Building performance issues
- Access to affordable financing
- Awareness of the benefits of clean energy technologies

Roles and Responsibilities

Proposals should clearly identify each team member and its role in delivering a successful campaign.

Campaign Director

Communities will designate a Campaign Director. The main role of the Campaign Director is to be the primary contact between NYSERDA, the Community, and the installers. The Campaign Director's responsibilities will include:

- Develop a yearly Campaign Plan that will outline approaches to:
 - technology selection
 - installer selection
 - outreach, education, and marketing
 - and enrolling, tracking, and closing
- Manage the outreach and education efforts of the Core Volunteer Team (see description below) and additional volunteers
- Reach out to local community organizations, potential partners, and volunteers
- Form partnerships with large, local employers to promote the campaign to employees
- Organize volunteer distribution of information and marketing materials
- Organize and mobilize community networks over the course of the program
- Serve as point person for questions on program mechanics and basic CH&C information
- Develop communication tools unique to the community (i.e., Facebook page, Google group, etc.) based on the toolkit provided by NYSERDA
- Participate in check-in calls with NYSERDA and the installer(s)
- Participate in best practices sharing calls with other community campaigns

Core Volunteer Team

Communities will not only designate a Campaign Director to manage outreach efforts but will also develop a Core Volunteer Team. Experience from the Solarize program has demonstrated that defining the volunteer team structure at

the onset of a campaign can be tremendously beneficial because it allows a Community to begin outreach immediately. It is recommended that each individual volunteer be considered for specific outreach efforts based on his or her interest and skillset. The roles listed below are not exhaustive and may or may not be applicable depending on Community-specific volunteer team structure. It is also understood that these roles may change or evolve throughout the campaign.

The following are examples of core volunteer roles:

- Chair of electronic communication and/or website
- Event planning
- Canvassing
- Volunteer development
- Outreach to resident organizations (civic groups, clubs, and places of worship)
- Person-to-person engagement and outreach

County, City, or Borough Representatives

It is required that the county, city, or borough government will be a supportive resource for the Community volunteer team during the campaign. Communities must demonstrate this through board resolutions and/or letters of support from a county official with decision-making authority, such as the County Executive. Proposals must include identification of the government representatives and resources that will be committed to the campaigns. The municipalities may support the campaign in several different ways:

- Utilizing municipal infrastructure for the benefit of the campaign, such as county email lists, mailers in tax bills or water bills, county press releases regarding the campaign, or announcements and links on a municipal website
- Providing space for community events, such as a Meet the Installer presentation, for minimal or no fee
- Leveraging county staff hours or additional funds
- Generally supporting the adoption of CH&C projects
- Collaborating with NYSERDA and the Technical Assistance Contractor on permitting review and streamlining efforts

- Collaborating with NYSERDA and the Technical Assistance Contractor on organizing code and safety trainings on selected CH&C technologies

These methods of support are not exhaustive and may or may not be applicable in each Community. However, the scope of municipal support will be reviewed as an important aspect of the Community selection process.

Financial Institutions

Proposers are encouraged to partner with a local bank or credit union to develop point-of-sale financing offers for community campaign enrollees. In comparison to the Solar PV market, CH&C leasing models are not readily available. Most installers do not currently have a point of sale financing or lease they can offer customers for a CH&C system.

Education Institutions

Proposers are encouraged to partner with a local education institution. Collaborations with the higher education institution could include staffing campaigns with student and faculty volunteers, supporting local workforce development and training, showcasing an existing or new CH&C installation on campus and engaging faculty as campaign enrollees. Proposers teaming with education institution must include a letter of support for their proposal from a member of the higher education institution's administration with decision-making authority.

Proposers are also encouraged to collaborate with local community or technical colleges with HVAC certification programs. These colleges could support the community campaigns through apprenticeships with CH&C technology installers or to train students to become project inspectors (e.g., an IGSHPA Certified Inspector). These students could assist with Quality Assurance work in the campaign.

Utilities

Proposers are encouraged to partner with the local electric and/or gas utility. This partnership can be beneficial to both parties as support from the utility can increase the likelihood of the success of a campaign. The utility can work to promote the campaign to a targeted list of their customers and otherwise help promote the campaign. Proposers should contact NYSERDA if they need assistance connecting with the local utility.

Available Funding

Up to \$2,000,000 is available through this PON¹⁰, consisting of:

¹⁰ NYSERDA reserves the right to add to or reduce the term and/or funding to awards.

Category A: Up to \$1,000,000 (multiple awards, up to \$200,000 each) for campaign support

Category B: Up to \$500,000 (multiple awards, up to \$50,000 each) to support additional workforce development and training initiatives to support the campaigns and local CH&C markets.

Category C: Up to \$500,000 (multiple awards, up to \$250,000 each) for Communities that propose an effective strategy to increase LMI household participation in the campaign.

III. Proposal Requirements

Category A:

Proposal Element	Description
Introduction, General Information, and Synopsis	Describe how you would run an effective Community campaign.
Describe Approach	Describe your approach to technology selection and which technologies the Community plans to include in the first campaign. Indicate how many years of campaigns the proposer is committing to run using this funding. Describe how the Community will leverage existing Solarize infrastructure. Indicate the availability of qualified installers for the selected technology(ies) that service the community and/or what steps will be taken to increase the number of qualified installers that service the community. Describe how building shell (insulation and air sealing) components will be addressed in the campaign.

Identify Community and Project Team	Indicate the factors that increase the likelihood of success in the target community such as: • The community has run another successful community campaign (e.g. Solarize). • The community is designated as a Clean Energy Community. • The community has enabled Property Assessed Clean Energy (PACE) financing. • The community has a strong climate commitment. • The community has a high concentration of fuel oil, propane, and electric heat customers and/or an effort to eliminate fossil fuels. Provide a list of all team members including: each member's role(s) and responsibilities in developing the proposal and implementing the project. Resumes of key individuals. The value and skills each member brings to the team and how their participation on the team strengthens the overall project. Designate a team lead who will be responsible for deliverables and outcomes. Each team member's existing NYSERDA contracts and commitments (if any).

Identify Challenges and Barriers to a Community Campaign	Indicate anticipated challenges of a campaign specific to the target community and describe plans to overcome them. These challenges may include: • Cost-effectiveness challenges. • Inadequate access to low-cost investment capital. • Limited customer awareness of and confidence in CH&C technologies. • Supply chain gaps.
Project Impact	Describe anticipated enrollments and installations as a result of the campaign(s). • Develop a projection/goal for enrollment based on your Community's demographics and past experience. • Develop a projection/goal for installations based on projected enrollment and past experience. Note: A spreadsheet is acceptable but should include a narrative.
Project Plan	Provide a project implementation plan that includes a timeline and budget. Please provide a budget(s) in the form of a table that indicates, by year, what the cost element is, describes the benefit/purpose, and indicates the amount. Please include a separate budget for the LMI campaign and workforce development and training proposals if they are included. Include answers to the following: • Demonstrate commitment from all team members, institutions, and relevant stakeholders.

	• Letters of support, as applicable. • Identify and describe any anticipated barriers or challenges to project implementation and how the team plans to overcome them.

Category B:

Proposal Element	Description
Workforce Development and Training Strategy	Proposers should include a workforce development and training component in their proposal. The workforce development and training proposal should indicate: • The workforce development and training need, approach, and intended outcome. • The training partner(s) and their qualifications. Preference will be given to NYSERDA training partners. A list of NYSERDA training partners can be found here. • Who will be trained. • What training courses will be used/developed and a description of the curriculum. Preference will be given to proposals that use existing curriculum, where available and appropriate. • Whether the training will result in certification, continuing education or credit, and/or internship/apprenticeship. • How the success of the workforce development and training will be measured and reported.

	Proposers should provide a separate budget for this proposal element as described above.

Category C:

Proposal Element	Description
LMI Pilot Proposal	Develop a plan or series of strategies intended to target and increase the participation of the LMI residents within community campaigns. The LMI proposal should: • Characterize the LMI residents in the Community (e.g. how many LMI households there are, what fuels they use to heat their homes, etc). • Identify the target audience. Be clear on whether the pilot will address affordable building owners, low-income residents, moderate-income residents, or a combination. Present a clear plan for how the campaign will engage LMI residents or affordable building owners. Clearly articulate specific offerings for each customer type. • Explain how income eligibility will be determined. • Include expected outcomes such as increased enrollment and increased installations by LMI residents. • Present a plan for measuring and verifying success. • Present a clear plan for how the Community will ensure that CH&C systems are only installed at LMI residences where there is a clear

	economic benefit to the LMI residents. • Present a clear articulation of incremental barriers to LMI resident adoption of clean energy and how they will be addressed. • If the proposed project requires financial contributions from LMI customers, provide detail on the requirements. • Describe how existing federal, state, and local LMI resources will be leveraged to increase success. Preference will be given to proposals that leverage resources beyond NYSERDA's programs. Proposers should provide a separate budget for this proposal element as described above.

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The proposal must be in the following format:

- Section 1: Introduction, General Information, and Synopsis (up to 2 pages)
- Section 2: Describe Approach (2-6 pages)
- Section 3: Identify Community and Project Team (1-2 pages)
- Section 4: Identify Challenges and Barriers to a Community Campaign (1-2 pages)
- Section 5: Project Impact (1-2 pages)
- Section 6: Project Plan (1-2 pages)
- Section 7: Optional Workforce Development and Training Strategy (2-4 pages)
- Section 8: Optional LMI Pilot Proposal (4-6 pages)
- Section 9: Qualifications (1-2 pages)
- Section 10: Statement of Work, Budget, and Timeline (2-4 pages)
- Appendices: Resumes of Key Personnel (1 page each)
- Letters of Support from Community residents, local government, local bank, local higher education institution official, the utility etc.

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

IV. Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below listed in order of importance. NYSERDA reserves the right to select proposals based on the following factor(s):

Category A: Community Campaigns

- Is there a demonstrated commitment from local community leaders to support the campaign?
- Has the Community run an active and successful community campaign (e.g. Solarize)?
- Can and should the proposed plan be replicated in other communities?
- What CH&C technologies has the Community chosen? Is the choice well-justified and appropriate?
- Does the proposed campaign include building envelope improvements and air sealing?
- Does the local municipality have an aggressive carbon reduction goal and plan?
- Does the Community have a sufficient capacity of qualified installers that service the area? If not, what is the plan to increase installer capacity?
- Have there been successfully completed CH&C project(s) in the Community?
- Is a local higher education institution included on the team?
- Is a financial institution included on the team?
- Is the local utility on the team?
- Is the team positioned to leverage community engagement and stimulate campaign participation?
- Has the local municipality enabled PACE financing?
- Is the Community designated as a Clean Energy Community?
- Does the Community have a high concentration of oil/propane or electric heat customers and/or an effort to eliminate No. 4 and No. 6 fuel oil?
- How supportive and involved will the municipality be of the campaign?
- Is the budget well justified and appropriate?
- References and Other Items:
 - Information provided by references
 - Is the proposal well-organized, well-written, and complete?
- Relevant Experience and Qualifications:
 - Qualifications, experience, and expertise

- Other NYSERDA work and commitments

Program Policy Factors

- The degree to which pricing and hourly rates are in line with the rest of the market.
- Geographical diversity of Communities.
- Diversity of CH&C technologies to be supported across campaigns.

Category B: Workforce Development and Training

- Does the proposal clearly identify skill gaps in the local CH&C workforce?
- Does the workforce development proposal provide a clear and well-conceived plan?
- Are the qualifications of the training provider sufficient?
- Is an existing, vetted curriculum used for training?
- Are the benefits of the proposed plan clear and do they justify the proposed investment?
- Does the proposed plan meet a well-described need?
- Is on the job training or apprenticeship included?
- Is the timing of the proposed plan appropriate and effective?
- Will the proposed plan provide clear and measurable benefit to the Community campaign?
- Is the budget well-justified and appropriate?

Category C: LMI Household Participation

- Does the LMI proposal provide a clear and well-conceived plan?
- Is the proposed plan likely to increase LMI enrollment?
- Is the proposed plan likely to increase CH&C installation at LMI homes?
- Is the proposed plan one that could or should be replicated in other communities?
- Does the proposal address incremental barriers to installing clean energy that are faced by LMI residents?
- Does the proposed plan appropriately leverage other federal, state and local LMI resources beyond NYSERDA programs?
- Does the proposed pilot address the objectives of providing access to CH&C technologies while improving energy affordability and reducing energy burden from LMI customers?
- Is the budget well-justified and appropriate?

v. General Conditions

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

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

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

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

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

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

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required

certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 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 - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

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

VI. Attachments:

Attachment A – Sample Agreement

Attachment B – Category A Budget

Attachment C – Categories B and C Budget



**Charge Ready NY Program
Program Opportunity Notice (PON) 3923**

IMPLEMENTATION MANUAL

Last Updated: September 18, 2018

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1.0 BACKGROUND

The **Charge Ready NY Program** (Program) is an incentive program designed to accelerate the deployment of electric vehicle charging equipment in New York State. By increasing the use of electric vehicles and electric vehicle charging stations, this program benefits New York State by reducing harmful emissions and the transportation sector's dependence on petroleum. The New York State Energy Research and Development Authority (NYSERDA) developed the Program to provide incentives that reduce the cost of purchasing and installing qualified Level 2 charging equipment for use in New York State.

Note to Applicants: At the time an Equipment Owner's pre-application or application is approved, the most current version of the Implementation Manual and the Terms and Conditions signed by the Equipment Owner will apply.

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

1.1 PROGRAM OVERVIEW

The Program is an incentive program that reduces the cost of purchasing and installing qualified Level 2 charging equipment at a New York State location that provides public charging, workplace charging, or charging at a multi-unit dwelling (MUD). Public and private (both for-profit and not-for-profit) entities may participate in the Program. NYSERDA intends to provide incentives of \$4,000 per charging port installed upon completion of the installation of charging equipment and the provision of appropriate documentation.

The Program is initially offering \$5 million in funding for incentives and **will accept applications until December 31, 2021 or until the program runs out of funds, whichever comes first.**

Additional information about the program, current lists of qualified charging equipment and networks, and the current amount of funding remaining in the program can be found on NYSERDA's website, www.nyserdan.y.gov/charge-ready-ny. Charging equipment and network service eligibility rules are defined in Section 3.1 of this Manual.

The Program allows Equipment Owners to participate in one of two ways:

1. Equipment Owners can apply for pre-approval of an incentive payment for the purchase and installation of qualified charging equipment, which reserves funding for their charging equipment. They then must complete their installations and submit required documentation within one-hundred eighty (180) calendar days. Upon approval of all documentation, NYSERDA will issue an incentive payment directly to the Equipment Owner in the form of a paper check or by electronic payment.
2. Equipment Owners can apply for an incentive payment for the purchase and installation of qualified charging equipment after the installation is completed, as long as the installation was completed after the Program Effective Date and the application is submitted within 90 days of the Installation Date. As part of their application they must submit all required documentation. Upon approval of all documentation, NYSERDA will

issue an incentive payment directly to the Equipment Owner in the form of a live check or by electronic payment.

Important: Program requirements are determined by NYSERDA which, in its sole discretion reserves the right to make changes to Program elements such as, but not limited to, eligible equipment and networks, incentive amounts, and Equipment Owner requirements.

1.2 PROGRAM CONTACTS

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

Center for Sustainable Energy
50 Milk Street, 16th Floor
Boston, MA 02109
Phone: 866-595-7917
Email: ChargeReadyNY@energycenter.org

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

David McCabe
Project Manager
New York State Energy Research and Development Authority
17 Columbia Circle
Albany, New York 12203
(518) 862-1090 ext. 3281
(518) 862-1091 FAX
david.mccabe@nyserda.ny.gov
www.nyserda.ny.gov

2.0 DEFINITIONS

Charge Ready NY Program (Program) is a program that provides incentives for the purchase and installation of electric vehicle charging equipment in New York State. It is run by NYSERDA and administered by CSE.

Charging Equipment Vendor is a provider of qualified Charging Equipment. The Charging Equipment Vendor must qualify its Charging Equipment through RFQL 3902 to be eligible to participate in the Program.

Electric Vehicle (EV) is a four-wheel light duty vehicle capable of highway speeds that is powered fully or in part by an electric motor and is rechargeable from an external connection to an off-board electrical source.

Electric Vehicle Charging Equipment (Charging Equipment) is a Level 2 electric vehicle charging station that meets all requirements of RFQL 3902 (see also Qualified Charging Equipment).

Equipment Owner is the entity that purchases the Charging Equipment. The Equipment Owner is also the recipient of the incentive payment.

Installation Date is the date on which the Charging Equipment is affixed to its permanent location, connected to the electrical source, and ready for use (including connected to a network for networked Charging Equipment).

Installer is the entity that installs the Charging Equipment. The Installer may or may not be the same as the Equipment Owner.

Network Services Vendor is a provider of network services for qualified Charging Equipment. The Network Services Vendor must qualify its network through RFQL 3902 to be eligible to participate in the Program.

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

Pre-Approval Date is the date that NYSERDA approves the Equipment Owner's application for pre-approval for a Charge Ready NY incentive.

Program Administrator is the Center for Sustainable Energy or other NYSERDA designee responsible for receiving and reviewing applications to the Program, responding to questions from Program participants, and conducting other administrative tasks related to the Program.

Program Effective Date is September 18, 2018. This is the date the Charge Ready NY program launched.

Qualified Charging Equipment is Charging Equipment that has been approved for use in the Program. The offering Charging Equipment Vendor must apply for and receive approval through RFQL 3902 to qualify for the Program.

Qualified Network Services are network services that have been approved for use in the Program. The offering Network Services Vendor must apply for and receive approval through RFQL 3902 to qualify for the Program.

RFQL 3902 refers to NYSERDA's Charge Ready NY Equipment and Network Qualification Process solicitation, through which NYSERDA qualifies charging equipment and network services for eligibility in the Program.

Site Owner is the owner of the site at which the Charging Equipment is installed. The Site Owner may or may not be the same as the Equipment Owner.

3.0 PROGRAM ELIGIBILITY

3.1 CHARGING EQUIPMENT AND NETWORK SERVICE ELIGIBILITY

To receive an incentive payment through the Program, Equipment Owners must purchase and install one or more units of Qualified Charging Equipment. To qualify their equipment for the Program, Charging Equipment Vendors and Network Services Vendors must submit an application to RFQL 3902, Charge Ready NY Equipment and Network Qualification Process, and NYSERDA must confirm that the equipment meets all requirements for qualified charging equipment described in RFQL 3902. Qualified charging equipment will be listed on NYSERDA's website and updated as needed. Charging Equipment Vendors and Network Services Vendors may submit new applications or update information about existing qualified equipment throughout the time that the Program is active, no more than once every three months.

As part of the equipment and network qualification process, Charging Equipment Vendors and Network Services Vendors will provide technical information about the qualified equipment and networks and will provide a list of distributors and vendors who sell the equipment and networks in New York State, with contact information so Equipment Owners can contact these entities to request quotes. Charging Equipment Vendors and Network Services Vendors must agree to the terms and conditions required for participating in the Program. Charging Equipment Vendors and Network Services Vendors are encouraged to attend an available training on how the Program works. A recording of the trainings will be posted on the Charge Ready NY website.

3.2 EQUIPMENT OWNER ELIGIBILITY

To be eligible for a Program incentive payment, an Equipment Owner must meet the following conditions:

1. Be a corporation licensed to do business in New York State, including not-for-profit corporations; a State agency or political subdivision of the State, including municipalities, school districts, and other local government entities.
2. Be an organization with an Employer Identification Number (EIN).
3. Purchase and install qualified charging equipment at a site in New York State that meets site eligibility requirements (see Section 3.3).
4. Projects that have received funding for charging stations from any of the below programs are ineligible for Charge Ready NY.
 - a. NYSDEC's Municipal Zero-Emission Vehicle (ZEV) and ZEV Infrastructure Rebate Program
 - b. Community-based EV Charging and EV Rebate Program administered by EV Connect
 - c. Calstart/ChargePoint's Charge to Work NY Program
 - d. NYPA's ReCharge NY Workplace Charging Program
 - e. Any other NYSERDA initiatives that provide incentives for installing charging equipment, such as the Clean Energy Communities program.

Projects participating in Charge Ready NY may also claim the New York State tax credit for installing charging stations (more information at https://www.tax.ny.gov/pit/credits/alt_fuels_elec_vehicles.htm). The tax credit is applied after taking out the amount received from NYSERDA.

3.3 SITE ELIGIBILITY RULES

Equipment Owners must install charging equipment at one of the following types of sites:

Public Site: A public site is a parking facility with at least ten (10) parking spaces that is open to the general public at least twelve (12) hours per day, at least five (5) days per week. Examples of public sites include municipal or privately operated parking lots or garages, parking at retail locations, restaurants, parks, transit stations, schools, destination locations, etc. Charging Equipment at public sites may be intended primarily for patrons but should be available to any visitor to use. Charging Equipment installed at public sites must be networked charging equipment.

Workplace Site: A workplace site is a parking facility with at least ten (10) parking spaces that primarily serves employees who work at or nearby the facility. Workplace sites must have a minimum of 15 employees regularly working at the site. The Charging Equipment must either be installed at parking spaces reserved for employees or be installed in a general use parking facility at which at least 50 percent of people parking at a workplace site on a typical business day are employees of an organization doing business on or adjacent to the premises. Workplace sites may be employee-only parking lots or parking areas. Charging Equipment at workplace sites may be restricted to use by employees only or may be open to a broader user group. Examples of workplace sites include office buildings, universities, schools, hospitals, and other similar facilities. Charging Equipment installed at workplace sites must be networked charging equipment.

Multi-Unit Dwelling (MUD) Site: A MUD site is a parking facility with at least eight (8) parking spaces that primarily serves a MUD with five (5) or more housing units. More than 50 percent of vehicles regularly parked at a MUD site between 7 PM and 7 AM must be resident-owned. Examples of MUD sites include apartment buildings, condominiums, and co-ops. Individual residents or tenants who are not the building owner may not be the Equipment Owner at a MUD site. Charging Equipment at MUD sites may be restricted to use by residents only or may be open to a broader user group. Charging Equipment installed at MUD sites may be either networked or non-networked charging equipment.

4. INCENTIVE AMOUNTS

Equipment Owners may receive an incentive payment of \$4,000 per charging port installed. Charging equipment with a single charging port is eligible for an incentive of \$4,000. Charging equipment with two charging ports (a dual charging station) is eligible for an incentive of \$8,000. No entity may receive more than \$200,000 in Charge Ready NY incentives in a single calendar year.

Note: Incentive amounts and the criteria used to determine them are subject to change at NYSERDA's sole discretion. NYSERDA will provide at least 30 days' notice to all program participants before new incentive amounts take effect.

5. INCENTIVE APPLICATION PROCESS

The incentive application process is described in a flow diagram in Appendix A.

NYSERDA will pay the Incentive once the Equipment Owner has met the requirements of the Program as described in the Manual. This includes but is not limited to (1) Agreeing to all Program requirements, (2) Installing all Qualified Charging Equipment in accordance with program rules and all applicable federal, state, and local rules and regulations, and (3) Providing accurate and complete documentation of the Qualified Charging Equipment purchase and installation to NYSERDA.

To qualify for an incentive, Equipment Owners may either pre-apply for incentives or apply for incentives within 90 days after the Installation Date, as described below. Incentives are available on a first-come, first-served basis.

To participate in the Program, the Equipment Owner must first complete a Contractor Application, which can be completed at http://portal.nyserda.ny.gov/CORE_CONAPP_Program_Page?programFamily=Innovation&programName=Public_Electric_Vehicle_Supply_Equipment. The Program Administrator shall review contractor applications for completeness and eligibility and respond to applicants within five (5) business days. Upon approval of the contractor application, the Equipment Owner will receive a link to log into the NYSERDA Portal. The first time the Equipment Owner logs into the NYSERDA Portal, they will be prompted to update their password. The Equipment Owner can then proceed to complete the incentive application, either as a pre-approval or post-installation approval.

If Equipment Owners pre-apply for incentive approval, NYSERDA will reserve program funds for the Equipment Owner upon successful review by the Program Administrator and NYSERDA of the Equipment Owner's pre-approval application. The Equipment Owner shall have one-hundred eighty (180) calendar days from the Pre-Approval Date to submit final documentation for their incentive. If final documentation is not received within one-hundred eighty (180) calendar days after the Pre-Approval Date, the pre-approval will be cancelled, the reserved funds will be released, and the Equipment Owner must reapply. The Equipment Owner will be notified of the cancellation via email. Equipment Owners who initially receive a pre-approval that is cancelled may apply again for pre-approval if their Charging Equipment is not yet installed or may apply for incentive approval after completion of their installation, if they meet the requirements for post-installation applications. Pre-approval does not guarantee an Equipment Owner will receive any funds from the Program. Pre-approval only reserves funds in the Program budget for the Equipment Owner, which can receive them contingent upon completing the pre-approved Charging Equipment installation, completing all Program requirements, and submitting all required documentation.

Equipment Owners who choose to apply for incentive approval after they complete their installations shall have ninety (90) calendar days from the Installation Date to submit final documentation for their incentive. Charging Equipment with an Installation Date prior to the Program Effective Date are not eligible for an incentive.

Equipment Owners shall submit incentive applications through NYSERDA's web portal (nyserda-portal.force.com).

The Program Administrator shall have ten (10) calendar days to review submitted incentive applications. Submitted applications that are complete and accurate and include all required documents will be approved.

If an application or its required documents are determined to be incomplete, illegible, or missing required information, the Equipment Owner will be notified of the error via email and shall have fifteen (15) calendar days from the date of notification to correct any errors. If the errors are not corrected within fifteen (15) calendar days, the application will be cancelled and the reserved funds will be released. If an application is submitted but determined to be ineligible, it will be cancelled, the reserved funds will be released, and the Equipment Owner will be notified via email.

If an incentive application is cancelled, Equipment Owners can reapply for an incentive for that Charging Equipment as long as it is still within ninety (90) calendar days of the Installation Date.

Participation in the Program does NOT constitute a competitive bid process in place of an Equipment Owner's required competitive bid processes. Equipment Owners must follow their own procurement rules for selecting a vendor for charging equipment, if applicable. Other competitive bid processes, such as state procurement contracts, may be available for Equipment Owners to use. Contact the Program Administrator for more information.

6. PROGRAM REQUIREMENTS

To participate in the Program, Equipment Owners must meet or agree to the following conditions:

1. Sign and agree to the Equipment Owner Agreement
2. Provide all required documentation about the charging equipment and installation to NYSERDA.
3. Operate the charging equipment for at least four (4) years from the Installation Date.
4. If the installed charging equipment is networked, the Equipment Owner must purchase at least one (1) year of network service provision at the time of installation. The Equipment Owner can change network providers at a later date but must provide NYSERDA access to charging data through a Network Services Vendor for the four (4) years of operation. The Equipment Owner must add NYSERDA to its network account as an administrator with limited rights to access charging data (preferred) or establish regular recurring data transfers to NYSERDA for the duration of the four (4) years, as described in Section 7.
5. Allow NYSERDA to share the charging equipment information, Equipment Owner contact information, and the installation address with the electric distribution utility serving that location, for the purpose of informing the utilities' system planning efforts, and with the U.S. Department of Energy, which compiles information about charging equipment to share with EV drivers through the Alternative Fuels Data Center (AFDC).
6. Agree to participate in online surveys and other research efforts that support Program goals.

7. REQUIRED DOCUMENTS

Equipment Owners must submit required documents for each incentive application. To receive pre-approval for an incentive application, Equipment Owners must submit:

- Completed application form (completed online)
- **Copy of Permit:** Scan of building permit to install charging equipment or note from the authority having jurisdiction (AHJ) that no building permit is required
- **Site Host Agreement:** Scan of signed Site Host Agreement
- Scan of quote(s) from installers for the installation of Charging Equipment

Following charging equipment installation, all Equipment Owners must submit the following required documents, at a minimum, to receive their incentive payment:

- Completed application form (completed online)
- Serial numbers and GPS coordinates for all charging equipment (submitted as part of completed application)
- **Copy of Permit:** Scan of building permit to install charging equipment or note from the authority having jurisdiction (AHJ) that no building permit is required
- **Installed Site Photo:** Photo of the charging equipment installed so the equipment is visible at its site
- **Serial Number Photo:** Photo of the serial number on each piece of charging equipment
- **Charging Equipment Installer Certification:** Scan of signed Charging Equipment Installer Certification. If the Equipment Owner self-installed the Charging Equipment, the Owner must still complete this form.
- **Site Host Agreement:** Scan of signed Site Host Agreement. If the Equipment Owner is also the property owner of the installation site, the Owner must still complete this form.
- **Network Service Agreement:** Scan of proof of payment for one (1) year of network services (where applicable)
- **Proof of payment for equipment:** Scan of proof of payment for Qualified Charging Equipment. The proof of payment for the equipment should list information about the vendor (name, company, contact information), the make and model name of the specific equipment purchased, per-unit costs, any accessories purchased along with their costs, and the total cost.
- **Proof of payment for installation services:** Scan of proof of payment from installer for the installation of Qualified Charging Equipment. The proof of payment should include information about the installer (name, company, contact information), a breakdown of costs by materials (as specific as possible, on a per-unit cost basis and total cost basis) and labor (hourly rates and number of hours at each rate), other expenses such as permits, and the total cost.

Equipment Owners must submit scanned versions of the documents through the NYSEERDA web portal, which can be found at nyserda-portal.force.com. NYSEERDA reserves the right to require additional documentation if needed for verification of any element of incentive eligibility.

8. OPERATION OF EQUIPMENT AND DATA PROVISION

Equipment Owners must continue to own and operate the charging equipment for a period of no less than four (4) years from the date of installation. If the Equipment Owner ceases to operate

the charging equipment before the end of this term, NYSERDA may require repayment of a portion of the incentive payment proportional to the amount of time the equipment was not in operation compared to the required period of operation unless the equipment is sold to a buyer who commits to operating the equipment at the same location for the full four-year term and maintaining reporting requirements. For instance, if the equipment was in operation for only three years, NYSERDA may require repayment of 25 percent of the incentive payment.

As part of the operation of equipment, the Equipment Owner must provide all data requested to NYSERDA on a regular basis. For networked stations, the Equipment Owner must set up access to usage data through the Network Services Vendor, either by providing NYSERDA with limited administrative access to the network data (preferred) or by establishing regular recurring data transfers to NYSERDA for the duration of the four (4) years, no less than quarterly. Network Service Vendors, NYSERDA, or the Program Administrator will be able to provide instructions for establishing NYSERDA as an administrator with data access. For non-networked stations, the Equipment Owner must provide NYSERDA with regular data reporting on electricity use and number of regular users, to the best extent possible.

9. INCENTIVE DISTRIBUTION PROCESS

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

10. APPEALS PROCESS

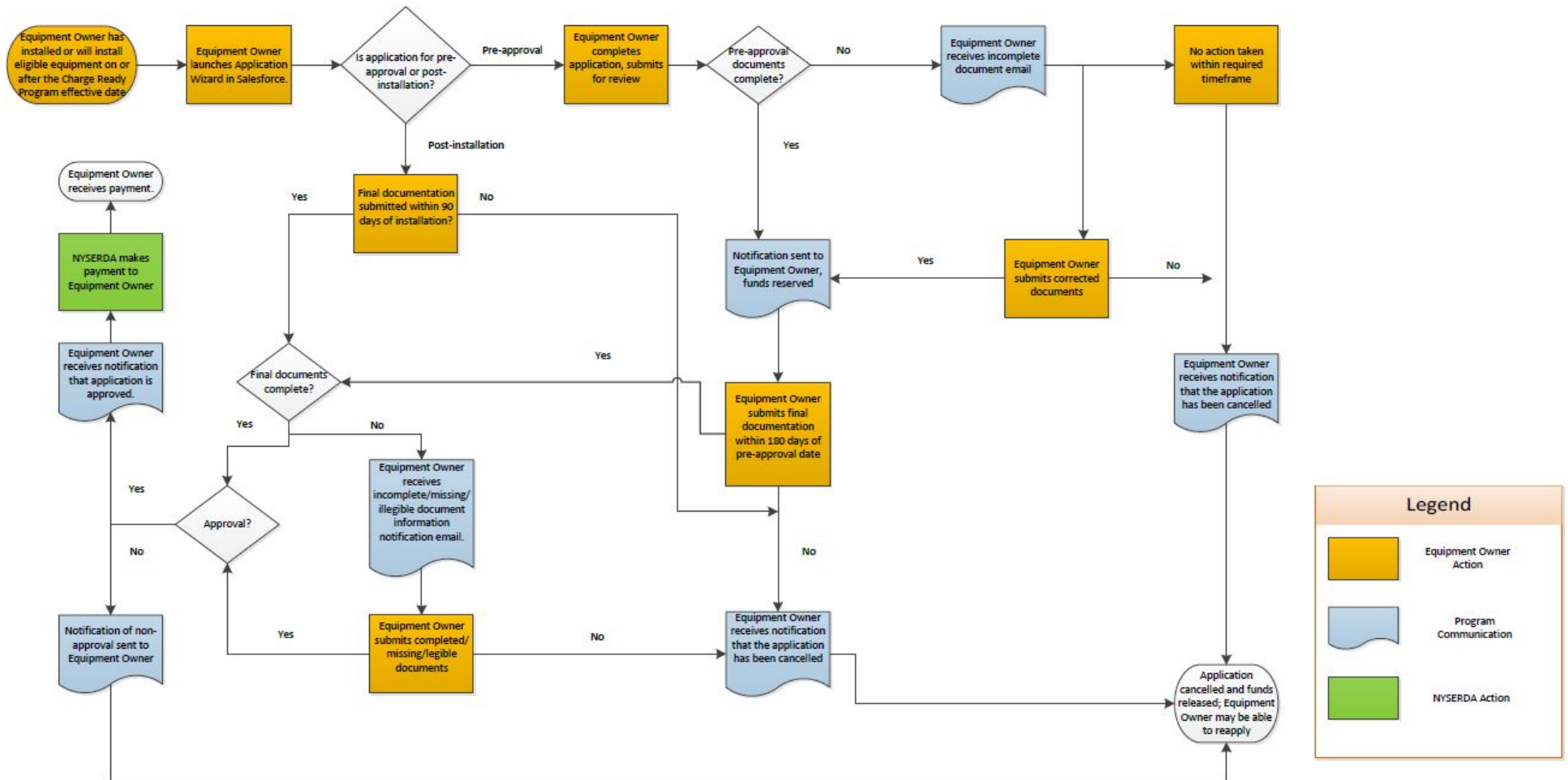
NYSERDA will consider appeals to the denial of an incentive application, which will be decided on a case-by-case basis. To submit an appeal, contact the Program Administrator.

11. RESEARCH PARTICIPATION

NYSERDA may require Equipment Owners to participate in surveys and may request participation from Equipment Owners in other research efforts that support Program goals.

Appendix A

Incentive Application Process Flow Chart



Novel Business Models and Offerings

Program Opportunity Notice (PON) 3932
\$8,000,000 Available

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

Proposals Due:

Round 1 November 26, 2018 by 3:00 PM Eastern Time*

Round 2 May 13, 2019 by 3:00 PM Eastern Time*

Program Summary: NYSERDA seeks to promote novel business models, commercial service or product offerings, and tools that enable scaling of the deployment of clean energy technologies. This Program Opportunity Notice solicits proposals for activities that: (1) enable the proposing company to rapidly scale a novel business model that has demonstrated customer acceptance in any clean energy sector, or (2) validate a novel business model or tool in the area of existing one-to-four-family residential energy efficiency. A non-exhaustive list of such business models might include performance contracts, power purchase agreements, x-as-a-service, resource sharing, or shared savings agreements. Even if such models are common in some markets, their demonstrated application in a new market may be considered novel. Examples of tools are products that enable a novel business model, such as a software application used to develop and clearly present a novel business offering to a homeowner or novel tools for customer acquisition. Companies that directly provide or install clean energy technologies are eligible, along with those that provide related services to such companies, for example, financing or customer acquisition. Other demonstrably novel and effective business models, offerings, or tools will also be considered. Through this Program Opportunity Notice (PON 3932) NYSERDA seeks proposals from companies in two categories:

- **Category A:** Scaling a Novel Business Model or Offering
- **Category B:** Developing and Validating a Novel Business Model or Tool for Use in the One-to-Four Family Residential Sector

Up to \$8,000,000 of NYSERDA funding is available through this PON. NYSERDA anticipates making several awards under this solicitation. Awarded contract(s) will be for a term of up to one year with the possibility of extension for up to an additional year. All, some, or none, of the available funds may be awarded through PON 3932. NYSERDA reserves the right to add or reduce the term and/or funding to awarded contracts.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Michael Shimazu (Designated Contact) at (518) 862-1090, ext.3478 or by e-mail michael.shimazu@nyserda.ny.gov or, for Category B only, Bill Keating (Designated Contact) at (518) 862-1090, ext.3089 or by e-mail bill.keating@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or venice.forbes@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3pm Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3pm Eastern Time, files in process or attempted edits or submission after 3pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. INTRODUCTION

In many clean energy markets, conventional product offerings have met with frequent customer resistance. For example, energy-saving equipment might not be purchased and implemented due to customer concerns with high first costs, uncertainty in recouping financial returns, lack of understanding of non-energy benefits of the equipment, or other barriers. Thus, many installations of established, commercially available clean energy products will not occur despite providing a positive return on investment over time. Economic and environmental value that could result from such investments and installations therefore remains to be realized.

Novel business models¹ or tools² that enable reallocation of costs, risks, ownership, returns, and other transacted items have produced offerings that have been more attractive to their customers even while deploying the same established, demonstrated technology. However, companies pursuing business models or tools that may be new to their particular marketplaces face high business development costs, while early volumes of customer demand are low.

NYSERDA seeks to promote novel business models, offerings and tools that can overcome barriers to the widespread deployment of clean energy technologies. Through this Program Opportunity Notice 3932 (PON 3932) NYSERDA seeks proposals from companies in two categories:

- **Category A:** Scaling a Novel Business Model or Offering
- **Category B:** Developing and Validating a Novel Business Model or Tool for Use in the One-to-four-Family Residential Sector

The subsequent sections of this PON are as follows:

- II. Program Requirements (page 2)
- III. Proposal Requirements (page 4)
- IV. Proposal Evaluation (page 9)
- V. General Conditions (page 11)
- VI. Attachments (page 12)

II. PROGRAM REQUIREMENTS

Private, for-profit companies that are bringing to market novel business models or offerings that accelerate the deployment of clean energy technology are eligible to submit proposals under this PON.

Novel business models and offerings include those that are not widely used within New York State, even though they may be used elsewhere. A non-exhaustive list of novel business models and offerings might include performance-based contracts, power purchase agreements, x-as-a-service, resource sharing, or shared savings agreements. Even if such models are common in some markets, their demonstrated application in a new market may be considered novel. Companies that directly provide clean energy technologies are eligible, along with those that provide related services to such companies, for example, new financial products or novel services that facilitate customer acquisition. Other demonstrably novel and effective business models will also be considered.

¹ To be self-sustaining, clean energy businesses – like any business – must create value for their customers, deliver this value, and be paid for it. The manner in which they do this is their "business model."

² "Tools" are products that support or enable business models, such as novel software applications.

Tools are products that support or enable business models by, for example, reducing business soft costs, improving response time to customers, or facilitating sales. Tools are typically software applications that would have broad appeal in the market if further developed, validated, and prepared for sale or distribution. Ultimately, use of the tool should result in growth of the clean energy market in New York State.

Applicable Technology

For the purpose of this solicitation, clean energy technology 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.

For Funding Category A – Scaling a Novel Business Model or Offering – the proposed business model or offering must apply to a fully-developed and commercially available clean energy technology as defined above. Commercially available technologies are typically offered with a warranty. Proposals supporting technologies that are not fully-developed and commercially available will not be eligible.

For Funding Category B – Developing and Validating a Novel Business Model or Tool for Use in the One-to-Four-Family Residential Sector – the proposed business model or tool must apply to fully-developed and commercially available technologies or offerings that improve the efficiency of energy utilization within existing one-to-four-family residential buildings. A business model or tool applicable to renewable energy, energy storage, electric vehicle or other clean energy technology without also being applicable to energy efficiency technology shall be deemed ineligible under Category B.

Funding Categories

Awards under this solicitation will be made in two separate rounds and separately evaluated categories.

Category A: Scaling a Novel Business Model or Offering

For-profit companies that have demonstrated a novel business model or completed a transaction with a novel offering in a clean energy market are eligible to apply for funding to help them scale in New York State. Funding of up to \$500,000 per project will be available, commensurate with justifiable expenditures under the proposed Statement of Work included in the proposal.

To qualify for funding, proposals must describe and document a real transaction that demonstrates the novel business model, how value is created, and how the customer, the company, and any of the company's financial backers and suppliers benefit from the transaction. Proposers must also fully describe their business model, including their value proposition, target customers, revenue model, customer acquisition process, cost structure, key activities, resources, and partnerships. Multi-sided business models – for example, brokerages or advertising-based models, among others – must describe value delivered to and revenue gained from all customers. Proposals must describe competitive approaches in the market and highlight novel aspects of the proposing company's approach.

Specific proposal requirements are described below in Section III.

Category B: Developing and Validating a Novel Business Model, Tool or Offering for Use in the One-to-Four-Family Residential Sector

In the one-to-four-family residential sector, there is a need for further development of business models, offerings, and tools, and fewer opportunities for fully-demonstrated business models. Consequently, companies that are developing novel business models or tools to use in delivering energy efficiency products or services to existing one-to-four-family residential building owners and customers – but which may not have yet demonstrated the model or tool – are eligible to apply for funding to validate and prove out the model or tool. Funding of up to

\$100,000 per project will be available, commensurate with justifiable expenditures under the proposed Statement of Work included within the proposal.

To qualify for funding, proposals must fully describe the novel business model or tool, and how the customer, the company, any of the company's business partners, and the market, in general, benefit from its use. Proposals must describe the results of research and testing performed to date to assess the probability of success; competitive approaches or products in the market; and the novel aspects, or the superior value or performance, of the proposing company's approach. Proposers must describe their value proposition, target customers, revenue model, customer acquisition process, cost structure, key activities, resources, and partnerships as appropriate to demonstrate how the business model or tool will succeed in the market on a broader scale after this validation phase.

Specific proposal requirements are described below in Section III.

Available Funding, Awards, and Cost Sharing

Up to \$8,000,000 of NYSERDA funding is available through this solicitation. All, some, or none, of the available funds may be awarded through PON 3932. NYSERDA reserves the right to add or reduce time to awarded contracts, add or reduce funding to awarded contracts, or both.

The awards will be structured as grants with no recoupment obligation to the recipient company. Award proceeds will be paid out on the basis of negotiated milestones. A final payment may be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment.

Successful proposers will be required to provide cost sharing. At least 50% 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. Cost share is valued by NYSERDA not only as a sharing of its financial risk, but also as a tangible commitment on the part of the proposer to the project's success. Consequently, cash from the proposer is the preferred form of cost share.

Exceptions to Terms and Conditions

In order to ensure NYSERDA is timely with the procurement and contracting of awards under this PON 3932, NYSERDA will not allow any exceptions to NYSERDA's standard terms and conditions in the Sample Agreement. All proposers should review these standard terms and conditions in the Sample Agreement (Attachment B) in detail before deciding to move forward with a proposal to ensure they do not have any exceptions with them. NYSERDA will terminate contract negotiations with any proposers selected for funding that attempt to retroactively negotiate the terms and conditions during the contracting process.

III. PROPOSAL REQUIREMENTS

Through this PON, NYSERDA welcomes proposals to grow or demonstrate novel clean energy business models, offerings or tools in markets in New York State, consistent with the funding categories A and B described above. Such proposals must lay out a set of activities ("Scope of Work") that will enable more rapid penetration of the proposed solution, and growth of clean energy markets, in New York State.

The proposer's goal should be to concisely present the information needed to fully address the Proposal Evaluation criteria in Section IV. Proposals that grossly exceed the page limits or fail to follow the format guidelines provided in this section may be rejected as non-responsive. A proposer who believes proprietary information must be submitted to provide an adequate proposal 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 prescribed format, with items in the sequence shown, as appropriate for the funding category under which it is submitted.

State Finance Law Compliance

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

Request for Exception from Public Disclosure

If the proposal includes proprietary or confidential information, a request to except it from disclosure, including a written statement of the reasons why the information should be excepted, should be provided. The proprietary or confidential information should be marked as such within the narrative of the proposal, and the request for exception should refer specifically to this information. See Section V for more detail.

Category A: Scaling a Novel Business Model or Offering

Proposals under Category A should provide a narrative that consists of the following sections. Proposers submitting proprietary material in order to gain a favorable review under the Evaluation Criteria in Section IV should review and comply with the instructions for submitting proprietary material in Section V.

1. Executive Summary – Briefly summarize the proposal by describing the novel business model or offering and how it overcomes market barriers to the deployment of clean energy technology. Discuss existing competition. Briefly describe a demonstrated transaction that provides validity for the model. Indicate how proceeds of an award will be used, and quantify the potential for growing the business. **(Limit: 2 pages)**

2. Background and Needs Assessment – Discuss the setting and rationale for the proposed project. **(Limit: 4 pages)**

- Describe the existing market for the clean energy solution or system being proposed and the barriers to large-scale deployment of such solutions.
- Describe how existing businesses approach the market. Describe typical transactions and their impact on customer and vendor cash flows, and the amount and timing of value delivered to customers.
- Describe market barriers and typical customer objections to deployment of the clean energy solution. Characterize the intractability of such barriers and objections.
- Describe the energy savings, greenhouse gas reductions, or other clean energy impact that could result from widespread deployment of the solution
- Share any market data or customer conversations that support this needs assessment.

3. Demonstrated Business Model – Describe the business model in some detail, indicate how it is novel, and provide a detailed description of a real transaction that reveals how the model works successfully. **(Limit: 8 pages)**

- Describe and, if relevant, quantify the following aspects of the novel clean energy business model that the proposing company seeks to grow. **(Limit: 5 pages out of 8 total pages for this section 3)**
 - o Customer segment(s)
 - o Value proposition to each customer segment
 - o Channels to market and customer relationships
 - o Revenue streams
 - o Key partners, including financial partners, service providers, and suppliers
 - o Key activities and resources
 - o Cost structure
- Indicate how the business model or offering to the customer is novel.
- Describe a specific, finalized transaction that indicates and quantifies the value provided to the customer, the revenue received by the proposing company by source, and the type and amounts of variable cost and financing costs. Be specific as to customer name, location and time.

4. Market Opportunity and Potential for Scaling – Describe and size the potential market for the business model. **(Limit: 2 pages)**

- Expand the description of target customers, highlighting the characteristics of the target segments that make them particularly attractive to the business.
- Indicate total available market for your offerings based on the proposing company's current value propositions. Indicate the served available market that the proposing company can reach through existing channels. Provide a forecast for growth of these markets, a time frame for the proposing company's expansion into the served available market, and an indication of potential market share.
- Describe the tasks the proposing company must execute to expand into the served available market.

5. Team Qualifications – Identify and describe the team, highlighting areas of strength and its completeness to execute the business model. **(Limit: 2 pages plus individual bios or resumes)**

- Describe the proposing company and its existing business, if any. Indicate company age, revenues, and key customers, if any.
- Please provide a biography of company key executives and team members responsible for executing the business plan. Highlight any experience in the clean energy industry and in the segments that the company is targeting.
- Provide third-party substantiation of the strength of the management team, for example, any awards or endorsements, or investment in the company by institutional or strategic investors.

6. Scope of Work, Budget and Cost Sharing – Provide a description of tasks to which proceeds would be put. This will form the basis of a contractual Statement of Work. **(Limit:1 page per task)**

- Describe the tasks that would be financially supported by any award of funds under this solicitation. Describe how these tasks will enable the expansion of the business and the attendant greater deployment of clean energy measures.
- Indicate the total budget for each task, and provide a basis for that budget, such as hours and labor rate, cost of materials, etc. Break down the amount of NYSERDA funding that will be applied to each task and the amount of cost-sharing that will be applied. Indicate the source of the cost-sharing contribution on a task-by-task basis. If such contribution is "in-kind", describe it and the basis for attaching a cash value to it.
- Any NYSERDA funding awarded under this solicitation will be distributed on the basis of milestones that will be negotiated post-award. Please suggest appropriate verifiable milestones that signify meaningful progress and might be used to trigger distribution of funds.
- Cost Sharing – The proposal should show non-NYSERDA funding of at least 50 % of the total cost of the project. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost-sharing plan in the following format (expand table as needed):

	Cash	In-Kind Contribution	Total
NYSERDA	\$	\$	\$
Proposer	\$	\$	\$
Others (list individually)	\$	\$	\$
Total	\$	\$	\$

Category B: Developing and Validating a Novel Business Model or Tool for Use in the One-to-Four-Family Residential Sector

Proposals under Category B should provide a narrative that consists of the following sections. Proposers submitting proprietary material in order to gain a favorable review under the Evaluation Criteria in Section IV should review and comply with the instructions for submitting proprietary material in Section V.

1. Executive Summary – Briefly summarize the proposal by describing the novel business model or tool and how it overcomes market barriers to the deployment of an energy efficiency technology in the existing one-to four family residential sector. Discuss existing competition. Briefly describe a transaction that illustrates the model or tool. Indicate how proceeds of an award will be used, and quantify the potential for growing the business. **(Limit: 2 pages)**

2. Background and Needs Assessment – Discuss the setting and rationale for the proposed project. **(Limit: 4 pages)**

- Describe how businesses currently approach the market, or how typical tools are used in the market, as applicable. Describe market barriers and typical homeowner, building-owner or contractor objections to, or limitations of, the existing business models or tools.
- Describe the target market segments for the novel business model or tool being proposed, and realistically estimate the impact the proposed solution could have if successful. Identify any target markets outside the one-to-four family residential sector that could also become targets for the business model or tool after it is validated, and estimate the potential impact within those markets, as well.
- Share any market data, results of research or preliminary testing, or customer conversations that support this needs assessment.

3. Proposed Business Model or Tool – Describe the business model or tool in some detail, indicate how it is novel, and provide a detailed description of a hypothetical transaction that reveals how the model works successfully. **(Limit: 8 pages)**

- Describe the current state of development of the novel business model or tool, including a description of testing done to date, and the nature of any remaining development work needed, if any. Explain the barriers preventing the proposer from completing the development or validation work, and how the NYSERDA funding would be used. Indicate whether a working model of the tool, if applicable, is available for demonstration to NYSERDA and the proposal Scoring Committee.
- Describe and, to the extent possible, quantify the following aspects of the novel business model or tool that the proposing company seeks to validate.
 - o Customer segments
 - o Value proposition to each customer segment
 - o Channels to market and customer relationships
 - o Revenue streams
 - o Key partners
 - o Key activities and resources
 - o Cost structure
- Indicate how the business model or tool is novel.
- Describe a transaction. Indicate and quantify the value provided to the customer, the revenue received by the proposing company, and the type and amounts of variable cost and financing costs.
- Summarize the customer interactions that give the proposer confidence in the anticipated success of the proposed business model or tool.
- Describe the approach to validating the proposed business model or tool, including the expected timeline and the number of transactions, uses, or other factors needed to validate prior to full scale deployment.

4. Market Growth – Describe the path to full-scale deployment of the novel business model or tool, after validation. **(Limit: 2 pages)**

- Indicate total available market for your offerings based on the proposing company's current value propositions. Indicate the served available market that the proposing company can reach through existing channels. Provide a forecast for growth of these markets.
- Describe how use of the business model or tool will ultimately lead to growth of the energy efficiency services market in New York State, including whether the tool will be open source. It should be clear from the explanation that the impacts will not be isolated to simply reducing the costs of individual companies, but rather facilitate the expansion of businesses serving this market and growth of sales.
- Describe the tasks the proposing company must execute to expand into the available market, once the business model or tool is validated.
- Identify business partners, investors or others who the proposer expects to engage to achieve full-scale implementation.
- Identify any gaps in the plan for full-scale deployment, how the proposer anticipates filling those gaps, and how the results of this proposed development and validation project can be used to support the effort.

5. Team Qualifications – Identify and describe the team, highlighting areas of strength and its completeness to execute the business model. **(Limit: 2 pages plus individual bios or resumes)**

- Describe the proposing company and its existing business, if any. Indicate company age, revenues, and key customers, if any.
- Please provide a biography of company key executives and team members responsible for executing the business plan. Highlight any experience in the clean energy industry and in the segments that the company is targeting.
- Provide third-party substantiation of the strength of the management team, for example, any awards or endorsements, or investment in the company by institutional or strategic investors.

6. Scope of Work, Budget and Cost Sharing – Provide a description of tasks to which proceeds would be put. This will form the basis of a contractual Statement of Work. **(Limit: 1 page per task)**

- Describe the tasks that would be financially supported by any award of funds under this solicitation. Describe how these tasks will enable the demonstration and validation of the proposed business model or tool.
- Indicate the total budget for each task, and provide a basis for that budget, such as hours and labor rate, cost of materials, etc. Break down the amount of NYSERDA funding that will be applied to each task and the amount of cost-sharing that will be applied. Indicate the source of the cost-sharing contribution on a task-by-task basis. If such contribution is "in-kind", describe it and the basis for attaching a cash value to it.
- Any NYSERDA funding awarded under this solicitation will be distributed on the basis of milestones that will be negotiated post-award. Please suggest appropriate verifiable milestones that signify meaningful progress and might be used to trigger distribution of funds.
- Cost Sharing – The proposal should show non-NYSERDA funding of at least 50 % of the total cost of the project. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost-sharing plan in the following format (expand table as needed):

	Cash	In-Kind Contribution	Total
NYSERDA	\$	\$	\$
Proposer	\$	\$	\$
Others (list individually)	\$	\$	\$
Total	\$	\$	\$

Annual Metrics Reports

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

IV. PROPOSAL EVALUATION

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. Proposals in Category A will be reviewed separately from those in Category B, according to separate evaluation criteria as indicated 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, or provide demonstrations of tools, as applicable. Proposers will be notified if they are requested to attend an interview or provide a demonstration.

Category A Evaluation Criteria

1. Likelihood that the business model can be replicated at scale

- Magnitude of the return on investment of clean energy equipment installed or measures taken, either in the form of energy cost savings or new value realized by the customer.
- Sufficiency of the return to provide customer value, proposing company profit, and full compensation of financial backers and supply chain.
- Degree to which the transactional model is demonstrated, based on detailed description of at least one completed transaction.
- Replicability of the documented transaction representing the novel business model or offering.
- Breadth of applicable use case in New York's market.
- Likely impact of the proposed work plan in promoting success.

2. Appropriateness, experience, and merit of the management team

- Demonstrated experience of the team formulating and selling clean energy solutions into its intended industry.
- Completeness and depth of the team's core competencies and industry knowledge enabling it to execute on its business model. This should include prior responsibility for profit and loss, sales responsibility and personal access to customers.
- External validation of the team's ability; for example, the team has been able to raise professionally-managed capital from investors.
- Qualification of team members to execute the proposed work.

3. Size and scope of the scaling opportunity

- Magnitude of the total available market, both in and outside New York. This is the market that would respond to the proposing company's value proposition.
- Magnitude of the served available market in New York. This is the subset of the total available market within New York that can be served through the channels that either exist or that will be developed with the support of proceeds from this program.
- Validity of market sizing estimates and underlying assumptions.
- Likelihood of proposed tasks to accelerate the growth of the offering within New York.

Category B Evaluation Criteria

1. Likelihood that the business model or tool can be successfully implemented in New York State's one-to-four family residential sector.

- Degree to which technical risk associated with the current state of development of the business model or tool has been minimized – as evidenced by the existence of market testing or the demonstration of a working model.
- Thoroughness and likely success of the plan to complete development and validation.
- Thoroughness and likely success of the path to full scale deployment.
- Degree to which the proposer demonstrably understands the relevant market barriers, customer behavior and preferences, as indicated by extensive customer interaction.
- Sufficiency of the proposed solution to provide customer value, proposing company profit, and full compensation of financial backers and supply chain. Demand for the business model or tool is demonstrated.
- Breadth of the applicable use case in New York's existing one-to-four family residential market.

2. Appropriateness, experience, and merit of the management team

- Demonstrated ability of the team to carry out the business plan to full-scale deployment, including raising other investment capital, if needed.
- Demonstrated experience of the team developing and selling similar market solutions into its intended market.
- Completeness and depth of the team's core competencies and industry knowledge enabling it to execute on its business model. This should include prior responsibility for profit and loss, sales responsibility and personal access to customers.

3. Size and scope of the scaling opportunity

- Magnitude of the total available market, including any markets outside New York State's one-to-four family sector. This is the market that would respond to the proposing company's value proposition.
- Magnitude of the served available market in New York. This is the subset of the total available market within New York that can be served through the channels that either exist or that will be developed with the support of proceeds from this program.
- Validity of market sizing estimates and underlying assumptions.
- Likelihood of proposed solution to accelerate the growth of the energy efficiency services market within New York.

Program Policy Factors

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.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- Whether the proposed project will advance the goals of the State Energy Plan, the Clean Energy Fund, and Reforming the Energy Vision.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project
- Promotion of job creation and/or preservation (Or the degree to which the proposed project is likely to lead to increased employment and manufacturing in New York State)

- The degree to which there is breadth and significant potential impact of technology development, including whether the proposed project will accelerate transformational technological advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty.

V. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

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

http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

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

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

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

VI. ATTACHMENTS:

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

- Attachment A – Proposal Narrative

In addition, the following attachments are provided for reference:

- Attachment B – Sample Agreement
- Attachment C – Sample Metrics Reporting Guide



NY-Sun Residential/Nonresidential Incentive Program
Program Opportunity Notice (PON) 2112
June 18, 2018

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

The New York State Energy Research and Development Authority (NYSERDA) provides cash incentives and/or financing for the installation by Contractors and Builders of new grid-connected electric photovoltaic (PV) systems for residential sites in any region that are 25kW or less, for nonresidential sites in Upstate and PSEG Long Island regions that are up to 750kW, and for nonresidential sites in Con Ed region that are up to 7.5MW. Incentives for nonresidential sites in Upstate region that are ranging from 750kW to 7.5MW are available through the Commercial/Industrial Program (PON 3082). Funding for the NY-Sun Incentive Program ("Program") has been allocated by the New York State Clean Energy Fund (CEF) and Regional Greenhouse Gas Initiative (RGGI) and the Order Authorizing the Clean Energy Fund Framework, dated January 21, 2016.

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

Information on the MW block design, including real-time data on the current incentive levels for Upstate can be found by visiting nyserda.ny.gov/upstate-dashboard and for Long Island at nyserda.ny.gov/LI-dashboard, and for Con Ed at nyserda.ny.gov/coned-dashboard.

Additional incentives for solar PV installations are available for residential customer households who qualify as low-to-moderate income. The additional incentive provides a standard incentive of \$0.80/W in Upstate and Long Island regions and \$0.40/W in Long Island region, if available, and can apply for up to 6kW of the total system size. Funding for the additional incentive is available until exhausted. If MW block standard funding is exhausted prior to additional incentive, the additional incentive will continue at the standard incentive amount in place at time the MW block incentive was exhausted, until the funding for the additional incentive is exhausted as well.

Additional incentives for solar PV installations are available for nonresidential projects serving multifamily affordable housing properties, projects located on a brownfield or landfill, parking solar canopies and rooftop solar canopies.

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

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

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

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

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

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

WHAT IS THE NY-Sun Incentive Program?

The New York State Energy Research and Development Authority (NYSERDA) provides cash incentives and/or financing for the installation by Contractors and Builders of new grid-connected electric photovoltaic (PV) systems for residential sites in any region that are 25kW or less, for nonresidential sites in Upstate and PSEG Long Island regions that are up to 750kW, and for nonresidential sites in Con Ed region that are up to 7.5MW. Incentives for nonresidential sites in Upstate region that are ranging from 750kW to 7.5MW are available through the Commercial/Industrial Program (PON 3082). Funding for the NY-Sun Incentive Program ("Program") has been allocated by the New York State Clean Energy Fund (CEF) and Regional Greenhouse Gas Initiative (RGGI) and the Order Authorizing the Clean Energy Fund Framework, dated January 21, 2016.

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

HOW DOES THE PROGRAM WORK?

Standard incentive

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

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

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

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

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

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

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

PROGRAM REQUIREMENTS

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

Energy Efficiency Audit.

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

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

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

Incentive highlights:

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

subsequent blocks and provide details on the progress towards the overall NY-Sun Statewide PV initiative installed capacity goal of 3.175 GW.

Limitation

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

Additional Information

Available on the NY-Sun Website at ny-sun.ny.gov



**Industrial and Process Efficiency Program
Program Opportunity Notice (PON) 2456
\$57,429,807 available**

Applications are accepted on a first-come, first-serve basis through December 31, 2019 by 3 PM Eastern Time, or until funds are exhausted.

Program Summary

The **Industrial and Process Efficiency** Program Opportunity Notice (PON) 2456 offers performance-based incentives to manufacturers and data centers that implement cost-effective electric and fossil fuel¹ efficiency and process improvements as outlined below:

- **Industrial Manufacturing Improvement** incentives are offered to offset the cost of energy projects at industrial sites. The focus is on cost effective projects that result in a gross reduction of energy usage or a net reduction of energy usage per unit of production.
- **Data Center Improvement** incentives are offered to offset the costs of energy projects at data center sites. The focus is on increasing information technology (IT) efficiency and minimizing support (power and cooling) system energy consumption per unit of compute.
- **New Construction** incentives are offered to offset the costs of installing energy efficient process and building equipment in new industrial and data center facilities. The focus is on designing energy efficiency into both the building and the process.
- **Operations & Maintenance (O&M)** incentives are offered to support upgrades and initiatives that promote persistent and measurable operations-based energy savings.
- A total of \$5 million was allocated to **Snowgun Replacement** incentives. These funds have been exhausted.

Facilities can receive both electric and fossil fuel incentives from the Industrial and Process Efficiency Program, subject to program requirements. Incentives are performance based (see Section II for incentive rates and Section III for eligibility requirements) and are capped at \$1 million dollars per electric Project and \$500,000 per fossil fuel Project. Each company is subject to a total program incentive cap of \$2,000,000 for any combination of electric and fossil fuel Projects.

Please note that cost-shared Flexible Technical Assistance is also available to manufacturers and data centers through PON 1746 for targeted, site-specific, energy studies.

Application Submission: Incentives are offered both Upstate and Downstate. Please see Section II: Incentives for details.

¹ NYSERDA reserves the right to evaluate eligibility of other non-electric fuels.

Applicants should visit the NYSERDA Consolidated Funding Application (CFA) page to fill out the CFA on-line form and NYSERDA will receive the application: <http://www.nyserda.ny.gov/Funding-Opportunities/Consolidated-Funding-Application.aspx> (see Section IV for further details).

Program Assistance: NYSERDA's Industrial and Process Efficiency team can help identify and prioritize projects that will maximize energy productivity savings. NYSERDA's team is available to:

- Consult with Facilities and Applicants about eligibility
- Schedule site visits and discuss energy efficiency measures
- Assist Facilities and Applicants with the application process
- Applicants interested in Industrial and Process Efficiency opportunities should contact: IPEOutreach@nyserda.ny.gov

Program questions should be directed to:

Upstate: Stacey Sabo, 866-NYSERDA ext. 3037, stacey.sabo@nyserda.ny.gov

Downstate: Sean Mulderrig, 866-NYSERDA ext. 3804, Sean.Mulderrig@nyserda.ny.gov

All Contractual questions should be directed to: Nancy Marucci ext. 866-NYSERDA ext. 3335, nancy.marucci@nyserda.ny.gov.

I. Introduction

The Industrial and Process Efficiency Program's goal is to help manufacturers and data centers increase product output and improve data processing as efficiently as possible by focusing on projects that improve manufacturing process productivity and data center efficiency. Incentives are calculated, when appropriate, on a reduction in energy usage per unit of production or workload. Projects may include those that increase productivity and capacity, enhance reliability, and/or increase uptime. Incentives are available for both electric and fossil fuel projects for the custom and site-specific use of commercially available technology. Incentives are based on one (1) year's energy savings from installed Projects. Both existing and new facilities are eligible to participate. Projects may involve Process Efficiency, Energy Efficiency, or O&M.

Definitions:

Applicant: The entity receiving the approved incentive amount upon Project completion; and responsible for delivering the energy savings. Applicants can include third parties such as Energy Service Companies (ESCOs), Facility owners, management companies, and/or tenants with the authority to make improvements.

Facility: The building or structure where the energy efficient measures are being implemented. A Facility can also be the Applicant on its own behalf.

Project: The plan for the implementation of eligible measures at a specified Facility. The Project may include multiple energy efficiency measures.

Technical Consultant: Engineering firm contracted with NYSERDA to provide assistance to Applicants and technical review of Projects.

Types of Projects:

Process Efficiency – Projects that install a new process or improvements to an existing process resulting in a gross reduction of energy usage, or a net reduction of energy usage per unit of production. Projects may involve:

- Industrial and data center process improvements or new installations
- Capacity additions that improve the energy use per unit processed
- Quality improvement
- Waste and scrap reduction
- Throughput increase
- IT improvements including desktop virtualization, server, storage, network, and telecommunications projects

Energy Efficiency (related to process) – Projects that result in the reduction of on-site consumption of energy in new or existing facilities. Projects may involve:

- New construction
- Energy/heat recovery
- Space conditioning improvements (related to IT or industrial processes only)
- Pumping system improvements
- Compressed air efficiency
- Fluid and support system improvements
- Air flow management improvements

O&M – Projects that deliver verifiable annual energy savings resulting from upgrades or initiatives to improve operations. Projects may involve:

- Compressed air system leak management
- Replacement of leaking steam traps
- Installation of cogged styles fan belts
- Burner tune-up

Applicants considering projects related to measures not listed above should contact NYSERDA to discuss eligibility.

II. Incentives

Available Funds

Funds are available through this PON for Industrial and Process Efficiency incentives and will be paid out on a first-come, first-served basis. If additional funds become available, NYSERDA reserves the right to increase the total available funding under this PON. NYSERDA will initially allocate 60% of available funding for electric Projects. NYSERDA reserves the right to make modifications to the allocation depending on program participation.

Process and Energy Efficiency Incentives for Manufacturers and Data Centers

Incentive Type	Energy Source	Upstate Incentive	Downstate Incentive
Process and Energy Efficiency	Electric	\$0.10/kWh	\$0.16/kWh
	Fossil Fuel	\$6/MMBtu	
Operations & Maintenance (O&M)	Electric	\$0.04/kWh	
	Fossil Fuel	\$3/MMBtu	
Minimum Incentive	\$25,000		
Maximum Incentive	50% Project cost		
	\$1 million / Project Electric and \$500,000/ Project Fossil Fuel \$2 million total / company		

Notes: The incentive rates shown above are based on annual energy savings. Incentives are determined by multiplying the annual energy savings by the rates shown.

Calculation for company cap will apply to all projects with an executed agreement after November 15, 2017.

NYSERDA Payment

Upon approval of all final deliverables, NYSERDA will provide full payment for Projects not requiring M&V and partial payment for Projects requiring M&V (see Section IV for further details). Once the M&V is completed, NYSERDA will review the results and release any remaining funds (which may be adjusted, based upon the M&V results.) At NYSERDA's discretion, progress payments may be made available upon request.

III. Program Eligibility Requirements

The Industrial and Process Efficiency Program is available to the manufacturing sector in New York State and targets key industries such as: chemicals and pharmaceuticals; primary metals, non-metallic minerals; pulp and paper; automotive; computers and electronics; food processing; and forest products. It includes manufacturing facilities, or support operations such as warehousing and distribution sites. Mining and extraction, as well as water and wastewater, are also included.

Data centers are eligible under the Industrial and Process Efficiency Program and are found in nearly every sector. Key target sectors for data centers include financial services, technology services, cable and telecommunications, insurance and medical, as well as colleges and universities.

To be eligible for incentives a Facility must pay into the System Benefits Charge (SBC) on their electric bill through one (1) of the below utility companies. Up to twelve (12) months of utility bills may be requested to verify the Facility's annual SBC contribution.

	Utility Company	Electric
<i>Downstate</i>	<i>Consolidated Edison Company of New York, Inc.</i>	X
<i>Upstate</i>	<i>Central Hudson Gas & Electric Corporation</i>	X
	<i>National Grid Generation d/b/a National Grid</i>	X
	<i>New York State Electric & Gas Corporation</i>	X
	<i>Orange and Rockland Utilities, Inc.</i>	X
	<i>Rochester Gas and Electric Corporation</i>	X

Note: Only certain service rate classes are eligible. Please check the Facility's current utility bill.

Other Eligibility and Program Information

- Projects at both existing and new Facilities are eligible. This includes upgrades to equipment and processes within new or existing Facilities, or substantial renovations to industrial and data center facilities.
- The total incentive cannot exceed 50% of the Project cost for most Projects. Project cost may include equipment, external engineering services costs, and approved internal labor costs. If approved, internal labor costs must be documented and are limited to 25% of the Project cost.
- Multiple measures may be bundled into one (1) Project application.
- All measures are expected to achieve savings for at least five (5) years.
- An Applicant or a Facility may receive only one (1) incentive per measure from any of NYSERDA's programs.
- An Applicant or Facility may receive an incentive for a specific energy efficiency measure either through NYSERDA or one (1) of the utility companies listed on this page, but not both.
- Ineligible Projects include power quality, power factor, lighting, and space conditioning improvements (unrelated to IT or industrial processes).
- Projects that derive benefits from the decommissioning of equipment due to a reduction of work/production are not eligible for incentives.

- Projects that are already installed are not eligible for Industrial and Process Efficiency incentives.
- NYSERDA, at its sole discretion, may cancel applications with a 30-day notice if Applicant responses to information requests are not timely.

IV. Application Requirements

The Applicant must complete and submit the following documentation before or within 90 days of Project contracting, and prior to any demolition or removal of existing equipment or installation of new equipment for the Project:

- a. Consolidated Funding Application (CFA): <http://www.nyserdera.ny.gov/Funding-Opportunities/Consolidated-Funding-Application.aspx>
- b. NYSERDA Terms and Conditions signed by the Facility; generated by NYSERDA E-Commerce and sent to the Facility upon receipt and review of the CFA
- c. Current and complete utility bill documenting the SBC
- d. Proposed equipment specification sheets and/or additional supporting Project information or eligibility criteria, if applicable
- e. Preliminary calculations of the anticipated energy savings, if applicable
- f. Timeline for implementing the Project

All applications will be reviewed and accepted or rejected at NYSERDA's discretion². Applicants may be required to provide NYSERDA with additional information necessary to complete evaluation of the application.

Project Deliverables

NYSERDA evaluates the Project based on the submitted documentation. If deemed eligible, a Purchase Order will be issued to the Applicant. The Applicant will have four (4) years from the issue date of the Purchase Order to complete the Project. Projects without adequate energy savings estimates, will not receive a Purchase Order until after the Engineering Analysis (EA) is complete.

Pre-Inspection

Each accepted Project is assigned a NYSERDA Technical Consultant who provides support to Facilities throughout the process. Following receipt of a complete application, NYSERDA and NYSERDA's assigned Technical Consultant will conduct a pre-installation inspection to verify existing conditions and collect project information.

Engineering Analysis

Industrial and Process Efficiency Projects at manufacturers and data centers require an Engineering Analysis to substantiate energy savings. The EA shall include, but is not limited to, Project description, detailed energy savings calculations, economic evaluation, and a M&V plan (if required – see below). If an Applicant-produced EA is not available, a NYSERDA assigned Technical Consultant will complete an EA based upon energy, production and/or computing data supplied by the Applicant.

Project Implementation

After the pre-installation site inspection and NYSERDA's review and approval of the EA, if applicable, NYSERDA will notify the Applicant and Facility contact(s) that the Project implementation can begin. An Applicant proceeding with Project demolition or installation prior to the NYSERDA conducted pre-installation inspection and the EA approval does so without confirmation of the incentive amount for the project, and assumes the financial risk that the project may or may not be approved at the anticipated amount. The Applicant shall notify

² Applications may be referred to a utility program if deemed appropriate.

NYSERDA's Technical Consultant that the Project is complete and ready for a post-installation inspection.

Post-Installation

The Applicant, in coordination with NYSERDA's assigned Technical Consultant, conducts a post-installation inspection, creates a Post Installation Report (PIR), if applicable, and collects relevant Project documentation (including invoices) and any other remaining items for submittal to NYSERDA. Upon approval of all final deliverables, NYSERDA issues the full incentive payment for Projects not requiring M&V to the Applicant, and partial incentive payment for Projects requiring M&V.

Measurement & Verification

At the EA stage, NYSERDA's Technical Consultant will develop an M&V plan in collaboration with the Applicant, if applicable. Projects requiring M&V must complete the M&V Plan in accordance with the approved EA. M&V is required for:

- Electric energy efficiency Projects saving more than 500,000 kWh annually
- Fossil fuel efficiency Projects saving more than 20,000 MMBtu annually
- O&M Projects must provide documentation to verify ongoing projects savings to NYSERDA. Depending on Project size, the Applicant may be required to perform M&V for a period up to two (2) years.
- **At NYSERDA's discretion, M&V may be required or waived for any Project.**

When the M&V is complete, NYSERDA reviews the results and releases the remaining incentive funds. NYSERDA will pay up to 60% of the incentive upon installation and the balance after NYSERDA receives and approves the final M&V report. The final incentive payment may be adjusted based on data gathered during post-installation inspection and/or within the M&V Plan results. Projects failing to perform to savings estimates may be required to reimburse NYSERDA for overpayment.

Determination of installation payment is at NYSERDA's discretion and will take into account the complexity of the Project and the predictability of energy savings. Installation payments on Projects with savings based upon variable load production will be based upon the production rate at the time of Project installation and will not exceed 30% of the total estimated incentive.

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.nyserdera.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

Contract Award - NYSERDA may award a Purchase Order based on applications without discussion, or following limited discussion. NYSERDA may request additional data or material to support applications. A sample Purchase Order is available on request. NYSERDA will notify Applicants whether the application has been selected to receive an award.

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.

VI. Attachments

Attachment A –Terms and Conditions, Prompt Payment Policy Statement, and General Conditions



**Industrial and Process Efficiency Program
Program Opportunity Notice (PON) 2456
\$57,429,807 available**

Applications are accepted on a first-come, first-serve basis through December 31, 2019 by 3 PM Eastern Time, or until funds are exhausted.

Program Summary

The **Industrial and Process Efficiency** Program Opportunity Notice (PON) 2456 offers performance-based incentives to manufacturers, data centers, and ski areas/resorts that implement cost-effective electric and fossil fuel¹ efficiency and process improvements as outlined below:

- **Industrial Manufacturing Improvement** incentives are offered to offset the cost of energy projects at industrial sites. The focus is on cost effective projects that result in a gross reduction of energy usage or a net reduction of energy usage per unit of production.
- **Data Center Improvement** incentives are offered to offset the costs of energy projects at data center sites. The focus is on increasing information technology (IT) efficiency and minimizing support (power and cooling) system energy consumption per unit of compute.
- **New Construction** incentives are offered to offset the costs of installing energy efficient process and building equipment in new industrial and data center facilities. The focus is on designing energy efficiency into both the building and the process.
- **Operations & Maintenance (O&M)** incentives are offered to support upgrades and initiatives that promote persistent and measurable operations-based energy savings.
- **Snowgun Replacement** incentives are offered to offset the cost of installing new, energy efficient snowmaking equipment.

Facilities can receive both electric and fossil fuel incentives from the Industrial and Process Efficiency Program, subject to program requirements. For manufacturers and data centers, incentives are performance based (see Section II for incentive rates and Section III for eligibility requirements) and are capped at \$1 million dollars per electric Project and \$500,000 per fossil fuel Project. Each company is subject to a total program incentive cap of \$2,000,000 for any combination of electric and fossil fuel Projects. Snowgun replacement incentives are based on the equipment installed (see Section II for incentive rates) and are capped at \$300,000 per ski area/resort. A total of \$5 million dollars is allocated to snowgun replacement incentives.

Please note that cost-shared Flexible Technical Assistance is also available to manufacturers and data centers through PON 1746 for targeted, site-specific, energy studies.

¹ NYSERDA reserves the right to evaluate eligibility of other non-electric fuels.

Application Submission: Incentives are offered both Upstate and Downstate. Please see Section II: Incentives for details.

Applicants should visit the NYSERDA Consolidated Funding Application (CFA) page to fill out the CFA on-line form and NYSERDA will receive the application: <http://www.nyserda.ny.gov/Funding-Opportunities/Consolidated-Funding-Application.aspx> (see Section IV for further details).

Applicants applying for snowgun replacement incentives should contact John McMurry, VEIC, at 802-540-7686 or jmcmurry@veic.org for assistance in applying to the CFA.

Program Assistance: NYSERDA's Industrial and Process Efficiency team can help identify and prioritize projects that will maximize energy productivity savings. NYSERDA's team is available to:

- Consult with Facilities and Applicants about eligibility
- Schedule site visits and discuss energy efficiency measures
- Assist Facilities and Applicants with the application process
- Applicants interested in Industrial and Process Efficiency opportunities should contact: IPEOutreach@nyserda.ny.gov

Program questions should be directed to:

Upstate: Stacey Sabo, 866-NYSERDA ext. 3037, stacey.sabo@nyserda.ny.gov

Downstate: Sean Mulderrig, 866-NYSERDA ext. 3804, Sean.Mulderrig@nyserda.ny.gov

Snowgun Replacement Program: John McMurry, 802-540-7686 or jmcmurry@veic.org

All Contractual questions should be directed to: Nancy Marucci ext. 866-NYSERDA ext. 3335, nancy.marucci@nyserda.ny.gov.

I. Introduction

The Industrial and Process Efficiency Program's goal is to help manufacturers, data centers, and ski areas/resorts increase product output and improve data processing as efficiently as possible by focusing on projects that improve manufacturing process productivity, data center efficiency, and snowmaking efficiency. For manufacturers and data centers, incentives are calculated, when appropriate, on a reduction in energy usage per unit of production or workload. Projects may include those that increase productivity and capacity, enhance reliability, and/or increase uptime. Incentives are available for both electric and fossil fuel projects for the custom and site-specific use of commercially available technology. Incentives are based on one (1) year's energy savings from installed Projects. Both existing and new facilities are eligible to participate. Projects may involve Process Efficiency, Energy Efficiency, or O&M. Snowgun replacement incentives are based on the equipment installed.

Definitions:

Applicant: The entity receiving the approved incentive amount upon Project completion, and will be responsible for delivering the energy savings. Applicants can include third parties such as Energy Service Companies (ESCOs), Facility owners, management companies, and/or tenants with the authority to make improvements.

Facility: The building, structure, or ski area/resort where the energy efficient measures are being implemented. A Facility can also be the Applicant on its own behalf.

Project: The plan for the implementation of eligible measures at a specified Facility. The Project may include multiple energy efficiency measures.

Technical Consultant: Engineering firm contracted with NYSERDA to provide assistance to Applicants and technical review of Projects.

Types of Projects:

Process Efficiency – Projects that install a new process or improvements to an existing process resulting in a gross reduction of energy usage, or a net reduction of energy usage per unit of production. Projects may involve:

- Industrial and data center process improvements or new installations
- Capacity additions that improve the energy use per unit processed
- Quality improvement
- Waste and scrap reduction
- Throughput increase
- IT improvements including desktop virtualization, server, storage, network, and telecommunications projects

Energy Efficiency (related to process) – Projects that result in the reduction of on-site consumption of energy in new or existing facilities. Projects may involve:

- New construction
- Energy/heat recovery
- Space conditioning improvements (related to IT or industrial processes only)
- Pumping system improvements
- Compressed air efficiency
- Fluid and support system improvements
- Air flow management improvements

O&M – Projects that deliver verifiable annual energy savings resulting from upgrades or initiatives to improve operations. Projects may involve:

- Compressed air system leak management
- Replacement of leaking steam traps
- Installation of cogged styles fan belts
- Burner tune-up

Snowgun Replacement – Projects that install new, energy efficient snowmaking equipment.

Applicants considering projects related to measures not listed above should contact NYSERDA to discuss eligibility.

II. Incentives

Available Funds

Funds are available through this PON for Industrial and Process Efficiency incentives and will be paid out on a first-come, first-served basis. If additional funds become available, NYSERDA reserves the right to increase the total available funding under this PON. NYSERDA will initially allocate 60% of available funding for electric Projects. NYSERDA reserves the right to make modifications to the allocation depending on program participation.

Process and Energy Efficiency Incentives for Manufacturers and Data Centers

Incentive Type	Energy Source	Upstate Incentive	Downstate Incentive
Process and Energy Efficiency	Electric	\$0.10/kWh	\$0.16/kWh
	Fossil Fuel	\$6/MMBtu	

Operations & Maintenance (O&M)	Electric	\$0.04/kWh
	Fossil Fuel	\$3/MMBtu
Minimum Incentive	\$25,000	
Maximum Incentive	50% Project cost	
	\$1 million / Project Electric and \$500,000/ Project Fossil Fuel \$2 million total / company	

Notes: The incentive rates shown above are based on annual energy savings. Incentives are determined by multiplying the annual energy savings by the rates shown.

Calculation for company cap will apply to all projects with an executed agreement after November 15, 2017.

Snowgun Replacement Incentives

Snowgun Make and Model	Incentive
Nivis Ecostick Duo	\$3,200
Nivis Ecostick Trio	\$3,200
Demaclenko EOS 8	\$3,200
HKD Impulse R5	\$3,200
HKD SV14	\$3,200
SMI Grizzly 4	\$3,200
SMI Viking 2/Viking V2 NT	\$3,200
Snow Logic DV4	\$3,200
Snow Logic DV7	\$3,200
HKD Impulse	\$2,800
HKD SV10	\$2,800
HKD Phaser	\$2,800
Ratnik Sky Giant VI	\$2,800
Snow Logic DV7 BA	\$2,800
TechnoAlpin Rubis Evo	\$2,800
Snowgun Technologies Sledgehammer	\$2,800
Snow Logic DV4 BA	\$2,800
Fan Guns	\$15,000

Notes:

- 1. The maximum per snowgun cost covered by an incentive is 80%.*
- 2. The maximum incentive per ski resort/area is \$250,000.*
- 3. Incentives cannot be combined with utility program offers.*
- 4. Alterations to standard nozzle configurations may reduce incentives.*

5. A total of \$5 million is allocated to snowgun replacement incentives; \$2.5 million for air/water guns and \$2.5 million for fan guns. At NYSERDA's discretion, the 50:50 allocation of funding may change (i.e., funds moved from air/water gun category to fan gun category or vice versa).

NYSERDA Payment

Upon approval of all final deliverables, NYSERDA will provide full payment for Projects not requiring M&V and partial payment for Projects requiring M&V (see Section IV for further details). Once the M&V is completed, NYSERDA will review the results and release any remaining funds (which may be adjusted, based upon the M&V results.) At NYSERDA's discretion, progress payments may be made available upon request.

III. Program Eligibility Requirements

The Industrial and Process Efficiency Program is available to the manufacturing sector in New York State and targets key industries such as: chemicals and pharmaceuticals; primary metals, non-metallic minerals; pulp and paper; automotive; computers and electronics; food processing; and forest products. It includes manufacturing facilities, or support operations such as warehousing and distribution sites. Mining and extraction, as well as water and wastewater, are also included.

Data centers are eligible under the Industrial and Process Efficiency Program and are found in nearly every sector. Key target sectors for data centers include financial services, technology services, cable and telecommunications, insurance and medical, as well as colleges and universities.

Ski areas/resorts located in New York State are eligible under the Industrial and Process Efficiency Program.

To be eligible for incentives a Facility must pay into the System Benefits Charge (SBC) on their electric bill through one (1) of the below utility companies. Up to twelve (12) months of utility bills may be requested to verify the Facility's annual SBC contribution.

	Utility Company	Electric
<i>Downstate</i>	<i>Consolidated Edison Company of New York, Inc.</i>	X
<i>Upstate</i>	<i>Central Hudson Gas & Electric Corporation</i>	X
	<i>National Grid Generation d/b/a National Grid</i>	X
	<i>New York State Electric & Gas Corporation</i>	X
	<i>Orange and Rockland Utilities, Inc.</i>	X
	<i>Rochester Gas and Electric Corporation</i>	X

Note: Only certain service rate classes are eligible. Please check the Facility's current utility bill.

Other Eligibility and Program Information

- Projects at both existing and new Facilities are eligible. This includes upgrades to equipment and processes within new or existing Facilities, or substantial renovations to industrial and data center facilities.
- The total incentive cannot exceed 50% of the Project cost for most Projects. For snowgun replacement, the total incentive cannot exceed 80% of the purchase cost of the new equipment. With the exception of snowgun replacement, project cost may include equipment, external engineering services costs, and approved internal labor costs. If approved, internal labor costs must be documented and are limited to 25% of the Project cost.
- Multiple measures may be bundled into one (1) Project application.
- All measures are expected to achieve savings for at least five (5) years.
- An Applicant or a Facility may receive only one (1) incentive per measure from any of NYSERDA's programs.

- An Applicant or Facility may receive an incentive for a specific energy efficiency measure either through NYSERDA or one (1) of the utility companies listed on this page, but not both.
- Ineligible Projects include power quality, power factor, lighting, and space conditioning improvements (unrelated to IT or industrial processes).
- Projects that derive benefits from the decommissioning of equipment due to a reduction of work/production are not eligible for incentives.
- For manufacturers and data centers, Projects that are already installed are not eligible for Industrial and Process Efficiency incentives. For sunowgun replacement projects, new equipment installed as of June 1, 2018 is eligible for incentives.
- NYSERDA, at its sole discretion, may cancel applications with a 30-day notice if Applicant responses to information requests are not timely.

IV. Application Requirements

The Applicant must complete and submit the following documentation before or within 90 days of Project contracting, and prior to any demolition or removal of existing equipment or installation of new equipment for the Project:

- a. Consolidated Funding Application (CFA): <http://www.nyserda.ny.gov/Funding-Opportunities/Consolidated-Funding-Application.aspx>
- b. NYSERDA Terms and Conditions signed by the Facility; generated by NYSERDA E-Commerce and sent to the Facility upon receipt and review of the CFA
- c. Current and complete utility bill documenting the SBC
- d. Proposed equipment specification sheets and/or additional supporting Project information or eligibility criteria, if applicable
- e. Preliminary calculations of the anticipated energy savings, if applicable
- f. Timeline for implementing the Project

All applications will be reviewed and accepted or rejected at NYSERDA's discretion². Applicants may be required to provide NYSERDA with additional information necessary to complete evaluation of the application.

Project Deliverables

NYSERDA evaluates the Project based on the submitted documentation. If deemed eligible, a Purchase Order will be issued to the Applicant. The Applicant will have four (4) years from the issue date of the Purchase Order to complete the Project. Projects without adequate energy savings estimates, will not receive a Purchase Order until after the Engineering Analysis (EA) is complete.

Pre-Inspection

Each accepted Project is assigned a NYSERDA Technical Consultant who provides support to Facilities throughout the process. Following receipt of a complete application, NYSERDA and NYSERDA's assigned Technical Consultant will conduct a pre-installation inspection to verify existing conditions and collect project information.

Engineering Analysis

Industrial and Process Efficiency Projects at manufacturers and data centers require an Engineering Analysis to substantiate energy savings. The EA shall include, but is not limited to, Project description, detailed energy savings calculations, economic evaluation, and a M&V plan (if required – see below). If an Applicant-produced EA is not available, a NYSERDA assigned Technical Consultant will complete an EA based upon energy, production and/or computing data supplied by the Applicant.

² Applications may be referred to a utility program if deemed appropriate.

Project Implementation

After the pre-installation site inspection and NYSERDA's review and approval of the EA, if applicable, NYSERDA will notify the Applicant and Facility contact(s) that the Project implementation can begin. An Applicant proceeding with Project demolition or installation prior to the NYSERDA conducted pre-installation inspection and the EA approval does so without confirmation of the incentive amount for the project, and assumes the financial risk that the project may or may not be approved at the anticipated amount. The Applicant shall notify NYSERDA's Technical Consultant that the Project is complete and ready for a post-installation inspection.

Post-Installation

The Applicant, in coordination with NYSERDA's assigned Technical Consultant, conducts a post-installation inspection, creates a Post Installation Report (PIR), if applicable, and collects relevant Project documentation (including invoices) and any other remaining items for submittal to NYSERDA. Upon approval of all final deliverables, NYSERDA issues the full incentive payment for Projects not requiring M&V to the Applicant, and partial incentive payment for Projects requiring M&V.

Measurement & Verification

At the EA stage, NYSERDA's Technical Consultant will develop an M&V plan in collaboration with the Applicant, if applicable. Projects requiring M&V must complete the M&V Plan in accordance with the approved EA. M&V is required for:

- Electric energy efficiency Projects saving more than 500,000 kWh annually
- Fossil fuel efficiency Projects saving more than 20,000 MMBtu annually
- O&M Projects must provide documentation to verify ongoing projects savings to NYSERDA. Depending on Project size, the Applicant may be required to perform M&V for a period up to two (2) years.
- **At NYSERDA's discretion, M&V may be required or waived for any Project.**

When the M&V is complete, NYSERDA reviews the results and releases the remaining incentive funds. NYSERDA will pay up to 60% of the incentive upon installation and the balance after NYSERDA receives and approves the final M&V report. The final incentive payment may be adjusted based on data gathered during post-installation inspection and/or within the M&V Plan results. Projects failing to perform to savings estimates may be required to reimburse NYSERDA for overpayment.

Determination of installation payment is at NYSERDA's discretion and will take into account the complexity of the Project and the predictability of energy savings. Installation payments on Projects with savings based upon variable load production will be based upon the production rate at the time of Project installation and will not exceed 30% of the total estimated incentive.

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

Contract Award - NYSERDA may award a Purchase Order based on applications without discussion, or following limited discussion. NYSERDA may request additional data or material to support applications. A sample Purchase Order is available on request. NYSERDA will notify Applicants whether the application has been selected to receive an award.

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.

VI. Attachments

Attachment A –Terms and Conditions, Prompt Payment Policy Statement, and General Conditions



CHP Program
Program Opportunity Notice (PON) 2568
\$82 Million Through 2018 *

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.nyserda.ny.gov/flextech>).

NOTE: Incentives for CHP Systems with an aggregate generator capacity between 50 kW and 3 MW have declined in 5% increments off the original incentive every 6 months for applications received in full starting September 1, 2016. The objective of this program is to serve as a bridge until the marketplace can flourish in the absence of this subsidy. Therefore, as new sources of "market-based compensation" emerge in the marketplace (such as utility-administered non-wires solutions programs), the glide path of incentive decline will become steeper. NYSERDA is assessing the marketplace conditions and contemplating the magnitude and/or frequency of future incentive declines, and although a specific amount and/or frequency has not yet been determined, it is clear that declines will become noticeably steeper in the future. Market actors are strongly encouraged to focus on projects that can maximize available market-based compensation mechanisms to buffer themselves from the impact of future incentive reductions. Initial incentive reductions for CHP systems that are 50 kW or smaller have not been established at this time.

Application Submission: Applications and accompanying required documentation must be submitted via the NYSERDA Portal. If you require assistance with the NYSERDA Portal, please contact CHPSupport@nyserda.ny.gov. If you are unable to submit electronically, contact NYSERDA for further instructions.

CHP Inquiries:

Please direct Program questions to: Paul Vainauskas 518 862-1090 ext. 3554,

paul.vainauskas@nyserda.ny.gov

Please direct Contractual questions to: Venice Forbes, 518 862-1090 ext. 3507,

venice.forbes@nyserda.ny.gov

Introduction

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

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

(1) To ensure that customers acquire durable, quality CHP equipment, furnished by competent solution providers, projects can proceed in an expedited fashion using Catalog-based products consisting of equipment and solution providers that have been vetted by NYSERDA, or projects can proceed using a Custom approach where NYSERDA will vet the proposed equipment and the project team; and

(2) To ensure that a proposed CHP system is properly size-matched to the needs of the customer, projects can proceed in an expedited fashion using NYSERDA's conservative sizing guidelines, or projects can proceed using a customized sizing approach where NYSERDA will vet the rationale of the proposed size.

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

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

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

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

1. Read about the basics of CHP.

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

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

1. ERS can help customers through the process of planning a CHP project.
2. Complete a preliminary analysis. This includes determining facility characteristics and outlining energy efficiency and resiliency goals.
 - ERS offers a free preliminary analysis to help estimate CHP feasibility and potential sizing options including financial information.
 - The DOE TAP (<http://www.northeastchptap.org/contact>) can also provide, at no cost, additional information on CHP feasibility.
3. Schedule a visit to your building with ERS to identify potential installation obstacles.
4. If you are seeking a CHP system outside of NYSERDA's sizing guidelines, or if you feel that the Custom Approach better meets your need, a more detailed study will be required. NYSERDA's FlexTech Program (<http://www.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 (see PON 2568 Attachment A – CHP Catalog).
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 A) 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> (click on “Local Generation Incentives for...”, followed by “Targeted Zones” below NYSERDA Combined Heat and Power Programs on the subsequent page). 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

This option is available to those sites that wish to increase their CHP capacity to support the normal electric and thermal loads during times when a prime mover is temporarily taken out of service due to normal maintenance or unplanned service. It is also available to those that would like to offset high peak electric loads during short term seasonal demands, or to those that would like to participate in a utility demand response program.

Sites that desire this increased capability and 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 and as permitted via utility interconnection agreement, 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 intended operating scenario meets a design intent of 60% annualized fuel conversion efficiency or greater, based on HHV (e.g., if the "plus one" generator capacity is operated during a Demand Response call or for a limited number of hours of peak shaving, and during such operation its thermal output is unneeded and therefore discarded, such discard of thermal output shall not be allowed to occur so extensively as to jeopardize meeting the Program's annualized fuel conversion efficiency goal).

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, however, a project seeking to install more than 3 MW of CHP is not eligible for this program (note that non-CHP backup generation -- such as a light-duty generator without heat recovery -- being installed by the project proponent is not eligible for NYSERDA funding via PON 2568 and is not counted toward the PON 2568 eligibility size cap of 3 MW).

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). NYSERDA desires to see the entire system operate at full output during the utility coincident peak. Therefore, if such a system is installed, the CHP System owner/site owner should consider participating in a demand response program. When submitting the project application, the feasibility study should take into consideration the added benefits the N+1 Option offers in addition to its cost to construct.

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 waive this requirement on a case-by-case basis 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_x/MWh (pounds of NO_x per megawatt hour of electric production) at any point over the entire operating range of the system.

The CHP System may include equipment fueled by pipeline natural gas, propane or compressed natural gas. CHP Systems where the prime mover is fueled directly by low BTU or adulterated fuels, such as

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

Recommissioning

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

Monitoring

All CHP Systems larger than 50kW installed under this PON must be instrumented so that CHP System performance (including thermal use) can be measured on 15 minute intervals. In addition, NYSERDA intends to sample the performance of small CHP Systems (50kW and less) by accessing any monitoring system included within the CHP System by the Vendor, or by installing monitoring equipment at NYSERDA's expense at select CHP project sites. In any case, the site owner must provide a communications route (phone line or internet connection) so that this performance data can be automatically uploaded to NYSERDA's DG Performance Website (<http://dg.nyserda.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 generally follow and preferably be more aggressive than the following milestone schedule (time measured from Start Date in the NYSERDA Agreement, to be set as the date at which NYSERDA transmits the Agreement to the applicant for signature and appearing in Item 4 on Page 1 of the Agreement.):

- 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 –CHP Systems 1MW and larger

You should be ready to proceed – Your project schedule should generally follow and preferably be more aggressive than the following milestone schedule (time measured from Start Date in the NYSERDA Agreement, to be set as the date at which NYSERDA transmits the Agreement to the applicant for signature and appearing in Item 4 on Page 1 of the Agreement.).

- 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:
 - o Location,
 - o Usage (multi-family, hotel, industrial, etc.).
 - o Size (square footage and a size metric appropriate for the usage such as 300 units in an apartment building, or 100 hotel rooms, etc.).
 - o The overall annual electric and thermal consumptions, and peak electric demand.
 - o 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 chillier 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:
 - o operating efficiency,
 - o fuel input, net electric (kWh) output (i.e. less parasitic electric use),
 - o thermal energy generated,
 - o thermal energy usable, and
 - o 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 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 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.

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

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

Attachment A - CHP Catalog

Attachment B - Sample Agreement

Attachment C - Incentive Calculator



Renewable Heat NY Residential and
Small Commercial Biomass Boiler
Program Opportunity Notice (PON) 3010
\$9,750,000 Available

**Renewable Heat NY Residential and Small Commercial Biomass Boiler Program
Installer/Contractor Applications to Participate and Customer Project Applications
Open Enrollment through December 31, 2018
by 5:00 PM Eastern Time***

The New York State Energy Research and Development Authority (NYSERDA) requests applications from qualified Boiler Installers/Contractors to participate in a financial incentive program to install approved wood pellet boilers and advanced cordwood boilers with thermal storage for eligible residential and commercial customers. Additional funding may be made available depending on funding availability, customer demand, and program success. The program will be implemented on a first-come, first-served basis.

The RHNH Biomass Boiler Program is open to all New York State residents, businesses and other customers who are interested in installing approved biomass boilers that have an output of 300,000 British thermal units per hour (Btu/hr) or less. Applications must be submitted by an Eligible Installer/Contractor with a completed Project Application Form (Attachment B), which includes the customer's information and signature.

Applications for RHNH Installer Eligibility: To become an "Eligible Installer," a boiler installer/contractor must submit one [1] clearly labeled, completed and signed application package as detailed in the *Renewable Heat New York Biomass Boiler Installer/Contractor Eligibility Application and Instructions (Attachment F)*. Installers/Contractors can apply for eligibility at any time while the program is open. Once approved, the Eligible Installer/Contractor can then apply for financial incentives for the installation of approved boiler and thermal storage systems that meet the requirements of this Program.

Applications for Financial Incentives: To apply for financial incentives, Eligible Installers may submit for each project a clearly labeled, completed and signed Project Application as detailed in the Customer Step-by-Step Guide. Project Applications will be for: (i) **incentives for the installation of an eligible cordwood or wood pellet boiler** (ii) **and additional incentives for the replacement of an existing, operational outdoor or indoor wood boiler/furnace**. Project Applications will be accepted on a first-come, first-served basis. Funding will be available through December 31, 2018. The listed incentive rates will be in place for systems installed by September 30, 2016, at which time rates will be reassessed. Customers with access to natural gas service are not eligible.

All Applications should be mailed to:

**Renewable Heat New York Boiler Program (PON 3010) Attn: Program Manager;
NYS Energy Research and Development Authority, 17 Columbia Circle, Albany, NY 12203-6399**

All Program and Applicant questions should be directed to Ryan Moore at (518) 862-1090, ext. 3267 or ryan.moore@nyserda.ny.gov

All Contractual questions should be directed to Elsyda Ahmed at (518) 862-1090, ext. 3232 or elsyda.ahmed@nyserda.ny.gov.

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

I. INTRODUCTION

WHAT IS THE RENEWABLE HEAT NY (RHNY) BIOMASS BOILER PROGRAM?

The New York State Energy Research and Development Authority (NYSERDA) Renewable Heat NY (RHNY) Residential and Small Commercial Biomass Boiler Program provides incentives for the installation of qualified high-efficiency and low-emissions pellet boiler and advanced cordwood boiler heating systems in New York State. The goal of the program is to spur wider market adoption and foster a long-term commitment to help the high-efficiency and low-emission wood heating industry reach commercialization scale. **This program strongly encourages the retirement and proper recycling of polluting outdoor and indoor wood boilers with replacement by advanced technologies.** Today's biomass boiler technology has lower emissions and is much more efficient, thereby making advanced cordwood and wood pellet boilers a viable alternative to propane or fuel oil. However, fuel switching to wood or wood pellets from natural gas is not eligible for Program incentives or financing.

Customer Eligibility

The Program is open to all New York State customers without access to natural gas service. Customers with natural gas service are not eligible. Incentives are available for customers who install eligible pellet or cordwood biomass boilers that have an output of 300,000 Btu/hr or less. All customers must use an Eligible Installer/Contractor approved by NYSERDA to access incentives through the program. **All boiler installations must comply with all applicable state and local codes and standards.**

Biomass Boiler Incentive

Customers are eligible for financial incentives for eligible wood pellet boilers and advanced cordwood boilers to supplement or replace their existing heating system (except natural gas). The Program provides incentives of 25% of the installed cost, up to a maximum of \$5,000 for the installation of a qualified advanced cordwood boiler heating systems with full thermal storage; or incentives of 45%, up to a maximum of \$36,000 of the installed cost of a qualified wood pellet boiler heating system with full thermal storage. For large commercial installations of large biomass boilers (greater than 300,000 Btu/hr output), incentives are available through NYSERDA's Existing Facilities Large Commercial –PON 1219. For more information, e-mail outreach@nyserda.ny.gov or call 1-866-NYSERDA.

Recycling Incentive

Recycling incentives are available for customers replacing an outdoor/indoor wood boiler, or wood furnace. **Customers must at the time of application have an installed and functional outdoor or indoor cordwood boiler or wood furnace that may be recycled.** Such customers are eligible for incentives for the retirement and recycling of the existing wood boiler system (\$5,000) or wood furnace (\$2,500). Customers are required to verify removal and recycling of the existing wood boiler or wood furnace and should work with an Eligible Installer/Contractor to provide documentation (Recycling Form Attachment E).

Eligible Technologies

Pellet Boiler Heating Systems (<300,000 Btu/hr) ¹ with Full Thermal Storage: Incentives are available for wood pellet boiler heating systems with full thermal storage per requirements outlined in Table 1. All pellet boiler heating systems must include a high-efficiency pellet-fired boiler with a thermal storage (buffer) tank meeting the

¹ Incentives for installation of large commercial pellet boilers (>300,000 Btu/hr) are provided as part of NYSERDA's Renewable Heat – Large Commercial Program – see: www.nyserda.ny.gov/renewableheatny.
Renewable Heat NY Biomass Boiler Program, Program Opportunity Notice (PON) 3010, Pg 2

requirements in the table below and as described in the Program Manual. Pellets must be stored outside of the building as outlined in the Program Manual (Attachment G).

Table 1: Pellet Boiler Heating System Minimum Requirements:

High-Efficiency and Low-Emissions Pellet Boiler Performance for All Systems	
Thermal Efficiency (HHV)	85%
Particulate Emissions	<0.080 lb/MMBtu ²
Carbon monoxide (CO) emissions	<270 ppm at 7%O ₂

Advanced Cordwood Boilers with Full Thermal Storage (<300,000 Btu/hr): Incentives are available for advanced cordwood boiler heating systems with full thermal storage. The installation must include full thermal storage as outlined in the Program Manual (Attachment G). All systems must include eligible boilers meeting the requirements provided in the Program Manual and must (i) meet testing requirements of the Brookhaven National Lab method for advanced cordwood boiler with partial thermal storage, and (ii) have been accepted by the New York State Department of Environmental Conservation (NYSDEC). Eligible boilers are listed at www.nyserda.ny.gov/renewableheatny

II. PROGRAM INCENTIVES

Incentives are available for systems meeting requirements of this PON, as outlined in Table 2 and 3 below.

Table 2: Incentives for Eligible Equipment

Advanced Cordwood Boiler with Thermal Storage	25% installed cost up to \$5,000 per unit. An additional \$5,000 for documented recycling (removal and destruction) of old outdoor or indoor wood boiler, or \$2,500 for recycling whole-house wood furnace.
Wood Pellet Boiler with Thermal Storage	45% installed cost up to \$36,000 based on system size. An additional \$5,000 for documented recycling (removal and destruction) of old outdoor or indoor wood boiler, or \$2,500 for recycling whole-house wood furnace.

Table 3: Maximum funding for Pellet Boiler by Size

Boiler Size (kW)	Boiler size (Btu/hr)	Maximum Incentive
≤25	≤86,000	\$10,000
≤35	≤120,000	\$16,000
≤50	≤171,000	\$23,000
≤88	≤300,000	\$36,000

III. HOW DOES THE PROGRAM WORK?

The Program requests applications from qualified Boiler Installers/Contractors to participate in a financial incentive program to install approved pellet boilers and advanced cordwood boilers with thermal storage for eligible residential and small commercial customers. Boiler Installers/Contractors are required to submit applications to become eligible installers under this Program. Installers can apply for eligibility at any time while the program is open. Once approved, Eligible Installers can then apply for financial incentives for the installation of approved boiler and thermal storage systems that meet the requirements of this Program. The program will be implemented on a first-come, first-served basis.

To attain Eligible Installer status, applicants must have demonstrated technical competence in the design and

² Pound per million British thermal units (lb/MMBtu)

installation of advanced cordwood boilers, pellet boilers, and thermal storage, and have signed a written Participation Agreement (Attachment F) with NYSERDA agreeing to the RHNY Program terms and conditions. Incentives are paid directly to the Eligible Installer/Contractor but must be passed on in-full to the customer as a reduction in the customer's out-of-pocket cost. The Eligible Installer/contractor is responsible for preparing and submitting all necessary incentive paperwork to NYSERDA.

Installer/Contractor Eligibility

Installer/Contractor Experience Requirements: Interested qualified Installers may apply to participate in the Program at any time while the program is open. To qualify to participate as an Eligible Installer/Contractor, an Installer/Contractor must meet one (1) of the following levels of experience:

- Have at least three (3) years of relevant experience with the design and installation of hydronic systems,
- Have at least two (2) years of experience installing hydronic systems including a minimum of one (1) successful installation of equipment meeting the requirements of this solicitation (i.e. solid fuel pellet boilers or advanced cordwood boilers defined as low mass (low water jacket volume), staged combustion (sometimes referred to as gasification) boilers with sensors and controls to optimize system performance) and thermal storage and outside bulk pellet storage;
- Be a licensed Master Plumber or Journeyman Plumber, with at least two (2) years of relevant experience with the design and installation of hydronic systems;
- Be a New York State-licensed professional (Registered Architect or Professional Engineer) and have at least two (2) years of relevant experience with the design and installation of hydronic heating systems.

Applicants will be evaluated on past experience installing boilers, including system design and sizing; customer satisfaction; and other relevant experience (i.e. installation of thermal storage). Once approved, Installers/Contractors will receive designation as a Provisional Eligible Installer/Contractor, and will then be eligible to apply for boiler system financial incentives as outlined in the Program.

Installer/Contractor Training Requirements

All approved Provisional Eligible Installers/Contractors must have completed manufacturer's training for the boiler brand they are installing. A certificate of completion or a letter from the manufacturer must be submitted as evidence of having successfully completed manufacturer's training. In addition, at least one individual from the company or firm must successfully complete Renewable Heat NY biomass training: "Hydronics for High-Efficiency Biomass Boilers" or other approved instructor-led training* within six (6) months of submission of your application to participate in the Program. No Project Applications will be approved until this training is completed and the Installer/Contractor is approved as a Provisional Eligible Installer/Contractor under the Program.

Renewable Heat NY biomass training: "Hydronics for High Efficiency Biomass Boilers" is recommended for all installers interested in participating in this Program, and at least one individual from the company or firm must successfully complete it. The training will help guide installers to ensure properly sized and safe installation practices, reduced component failure, lower operations and maintenance costs, increased system longevity and reduced system design and installation costs. Scheduled Instructor-led and online training will be available during the Program period, and registration is available from the website:

<http://www.nyserdera.ny.gov/renewableheat>

- Future training will be announced on the NYSERDA RHNY website as it becomes available

***Note:** Online training, or other approved instructor-led training deemed by NYSERDA to cover required learning objectives previously established for the Hydronics for High Efficiency Biomass Boilers training must be approved in advance by NYSERDA to qualify for meeting this training requirement.

Installer/Contractor Business Requirements:

Minimum of two (2) years experience in business related to hydronic heating design and installation. An Eligible Installer/Contractor may use any business structure that is legal for conducting this type of business in the State of New York (corporation, LLC, sole proprietorship, etc). An Eligible Installer/Contractor must be able to meet all Program requirements including required insurance coverage and have the capability to provide warranty services on all installed systems, as required by the Program and NY State law. Eligible Installer/Contractor must comply with all local authority requirements for registration and licensing that apply to the installation of advanced cordwood or pellet boiler heating systems with thermal storage.

When completing the application, the Eligible Installer/Contractor should provide names and resumes of key personnel including ownership, management, sales, installation and design/engineering as well as three (3) company/business references. Eligible Installers/Contractors must employ at least one (1) individual who has met the training requirements as outlined above and in the Program Manual (Attachment G).

Three (3) verifiable customer references for specific projects should be accompanied by a brief description of the systems installed and the applicant's role in the project. Contact information for customers references must be provided to allow for verification. To demonstrate design capability, one sample Manual J heat load analysis calculation must be included with your Instructor/Contractor Eligibility Application (Attachment F).

Note: Manual J is the Air Conditioner Contractors of America (ACCA) approved method of calculating room-by-room and whole house heating and cooling loads.

Once NYSERDA approves an Installer/Contractor Application, NYSERDA will countersign the Participation Agreement and return the executed copy to the approved Installer/Contractor. The Installer/Contractor will be required to provide additional documentation, including proof of insurance in accordance with Article 7, Insurance, of the Participation Agreement.

To be Designated as Full Installer/Contractor: Installers/Contractors who have completed the training requirement and have successfully installed a minimum of one (1) pellet boiler or advanced cordwood boiler project with thermal storage that meets the minimum requirements for a quality installation will move from "Provisional" to "Full" status designation. The qualifying installation must meet quality installation requirements for eligible equipment, including pellet boilers and advanced cordwood boilers defined as low mass (low water jacket volume), staged combustion (sometimes referred to as gasification) boilers with sensors and controls to optimize system performance, and thermal storage.

More information on how to become an Eligible Installer/Contractor can be found in the **Installer/Contractor Eligibility Application and Instructions (Attachment F)**.

IV. PROGRAM REQUIREMENTS

The following rules apply to the Program:

Once a Participation Agreement with NYSERDA has been executed, an Eligible Installer/Contractor can submit projects to the Program for incentive consideration.

Incentives are available on a first-come, first served basis, and will only be reserved for customers once an application has been approved by NYSERDA. The Incentive Payment Request Form (Attachment C) and Recycle Form (Attachment E) must be submitted by an Eligible Installer/Contractor. Eligible installers may request 40% incentive payment up-front, after all approved system components have been delivered to a customer's site, all permits and approvals have been obtained, and the Incentive Payment Request Form (Attachment C) is completed and submitted to NYSERDA for approval. Incentives are paid directly to the Installer/Contractor upon approval of the Incentive Payment Request Form (Attachment C), and the incentives must be passed on in the full amount to the customer. Incentives will not be provided directly to customers purchasing or installing the new system. Incentives are only available for new equipment and systems that have

not been installed (partially or completely) prior to NYSERDA approval of a Project Application. NYSERDA reserves the right to adjust incentives without notice.

Installation Requirements

- **Heat Load Calculation Requirement:** The Air Conditioning Contractors of America (ACCA), Manual J protocol determines how much heating or cooling a house actually needs. A Manual J heat load calculation must be performed and submitted to NYSERDA along with the Project Application for approval in order to demonstrate proper sizing of the boiler and thermal storage system pursuant to the heating needs in the home. Manual J Heating Ventilation and Air Conditioning (HVAC) load calculations require entry of relevant data, such as the home's orientation, insulation levels, window types, areas of all the surfaces that gain or lose heat, and more. The output of the calculation is how much cooling and heating the house needs in Btu per hour for each room, each zone, and the whole house. A room-by-room heat load calculation is required to use the results and the equipment specifications to select equipment and design a duct system that will perform at its maximum efficiency using ACCA's other design protocols, Manuals S, T, and D, as appropriate.
- **Compliance with all State and Local Requirements:** The installations must comply with any and all manufacturers' installation requirements, applicable laws, regulations, codes, licensing and permit requirements including, but not limited to, the New York State Environmental Quality Review (SEQR), the New York State Building Code, New York State Plumbing Code, the National Electric Code, and all applicable New York State, city, town, or local ordinances or permit requirements.

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 new procurement lobbying requirements which can be found at: <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. Each offer should Renewable Heat NY Biomass Boiler Program, Program Opportunity Notice (PON) 3010, Pg 7

be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the PARTICIPATION Agreement (Included in Attachment F) to contract successful Installer proposals. NYSERDA expects to notify applicants in approximately three (3) weeks from receipt of the Project Application Form (Attachment B) 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.

ADDITIONAL INFORMATION AND ATTACHMENTS

Information for Installers/Contractors and Customers

Customer Step-by-Step Guide	Attachment A
Project Application Form*	Attachment B
Incentive Payment Request Form*	Attachment C
Addendum to Customer Purchase Agreement	Attachment D
Recycling Form*	Attachment E
*Needs to be completed by Installer/Contractor	

Information on Becoming an Installer/Contractor

Installer/Contractor Eligibility Application, Instructions and Participation Agreement	Attachment F

Specific Program Rules

NYSERDA RHNY Program Manual	Attachment G
Quality Assurance Checklist (Design and Installation)	Attachment H

<u>GJGNY Financing</u> – Contractor Application Package for EFS	Attachment I
- Contractor Application	
- Contractor Participation Agreement	
- ACH Authorization Form	

<u>Change Order Request Form</u> –	Attachment J
- Change Orders	
- Project Extensions/Cancellations	

<u>Pro-Forma Loan Calculator</u> –	Attachment K



NY-Sun Commercial/Industrial Incentive Program
Program Opportunity Notice (PON) 3082
June 18, 2018

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

The New York State Energy Research and Development Authority (NYSERDA) provides performance-based incentives for the installation by Contractors of new grid-connected electric photovoltaic (PV) systems that are ranging from 750kW to 7.5MW in Upstate region. Incentives for residential sites in all regions, nonresidential sites 750kW or less in Upstate and PSEG Long Island regions, and nonresidential sites 7.5MW or less in Con Ed region are available through the NY-Sun Residential/ Nonresidential Program (PON 2112). Funding for the NY-Sun Incentive Program ("Program") has been allocated by the New York State Clean Energy Fund (CEF) and Regional Greenhouse Gas Initiative (RGGI) and the Order Authorizing the Clean Energy Fund Framework, dated January 21, 2016.

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

Information on the MW block design, including real-time data on the current incentive levels for Upstate can be found by visiting nyserda.ny.gov/upstate-dashboard.

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

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

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

Contractor Application questions may be sent to PVprocessing@nyserda.ny.gov. Please reference PON 3082 when contacting NYSERDA with questions.

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

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

NY-Sun Commercial and Industrial Program

The New York State Energy Research and Development Authority (NYSERDA) offers performance-based financial incentives for the installation of new grid-connected solar photovoltaic (PV) systems that are ranging from 750kW to 7.5MW in Upstate region. Incentives for residential sites in all regions, nonresidential sites 750kW or less in Upstate and PSEG Long Island regions, and nonresidential sites 7.5MW or less in Con Ed region are available through the NY-Sun Residential/ Nonresidential Program (PON 2112).

Funding for the NY-Sun Commercial/Industrial Program has been allocated as part of the Clean Energy Fund with additional funding made available through the Regional Greenhouse Gas Initiative (RGGI) for New York State (NYS) electricity customers and the Order Authorizing the Clean Energy Fund Framework, dated January 21, 2016. Incentives will be allocated on a first-come, first-served basis and applications will be accepted on a rolling basis through December 29, 2023, or until funds are fully committed, whichever comes first.

How Does the Program Work?

The NY-Sun Commercial and Industrial Program provides incentives based upon the performance of the PV System as a function of annual energy production. A detailed description of the Program and the terms and conditions under which it operates is provided in the NY-Sun Incentive Program Manual available at <http://www.nyserda.ny.gov/solar-contractor-resources>.

In addition to performance-based incentives, the program includes additional incentives for projects located on a landfill or brownfield. Participating Contractors may invoice for project incentives in three separate increments: one invoice when the system is installed, interconnected, and commercially operational and one in each of the two subsequent consecutive years (Performance Period) based upon measured annual kilowatt hour (kWh) output of the PV system (System Actual Annual Energy Production). For details, see NY-Sun Incentive Program Manual, Metering requirements.

Incentives are available for new customer-sited PV systems, greater than 750 kW per electric meter, that are connected to the electric distribution grid and displace utility provided electricity. Prior to submitting applications for incentives, organizations must become a Participating Contractor by registering with the NY-Sun Commercial and Industrial Program. Upon approval, the organization will be provided access to the NY- Sun Commercial and Industrial Program online applications platform.

To become a Participating Contractor in the NY-Sun Commercial and Industrial Program, interested parties must complete a Contractor Application in which they agree to abide by the terms and conditions of the NY Sun Incentive Program Participation Agreement and Program Manual. These documents are available on the NY-Sun website at nyserda.ny.gov/become-a-solar-contractor.

Applicants to the commercial and industrial program must provide three verifiable solar electric customer references (customer name, address, phone, and email) for completed, grid-connected solar electric installations that entered commercial operation in the past three years that, in aggregate, sum to at least 3MW. System size (kilowatts), interconnection date, and the applicant's role in the project must be specified. Construction photos for the projects listed as a reference are required.

Participating Contractors are responsible for preparing and submitting all required PV Project Incentive Application documentation to NYSERDA.

Financial Incentives

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

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

Limitation

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

Additional Information

Forms are available on the NY-Sun Website at ny-sun.ny.gov.



Advanced Clean Energy (ACE) Exploratory Research
Program Opportunity Notice (PON) 3249 Full Proposal

Approximately \$3 Million Available

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

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

The Advanced Clean Energy Exploratory Research Program (ACE Program) invites proposals for applied research projects that will explore and develop new concepts for transformational and disruptive improvements in energy technologies and energy business models. The ACE Program employs a two-step application process. Applicants must initially submit a 4-page concept paper **using the Concept Paper Template** format (See PON 3249 Concept Paper). Concept Papers must be **received by NYSERDA** on or before 5:00 PM on November 30, 2018.

Following an evaluation, NYSERDA may invite an applicant whose project concept has been selected for further consideration to submit a more extensive "Full Proposal."

Full Proposal (By Invitation Only)

Full Proposals are subject to the requirements and Evaluation Criteria below. The mandatory Full Proposal package, to be submitted only by NYSERDA's specific invitation, will consist of completed Attachments D1 & D2 (For Mailed or Hand-delivered only), and if submitted electronically D3 through D8. NYSERDA may include additional questions and/or requests for additional materials specific to an applicant's proposed concept at the time of invitation.

The proposer's goal should be to concisely present the information needed to fully address the evaluation criteria (see Section 8.b Full Proposal Evaluation Criteria). Proposals that 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 instructions for submitting Proprietary Material (See the "General Conditions" section below). 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.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "Application Instructions and Portal Training Guide [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). No communication intended to influence this procurement is permitted except by contacting Richard Drake (Designated Contact 1), (518) 862-1090 ext. 3258, email richard.drake@nyserda.ny.gov or Michael Shimazu (Designated Contact 2) (518) 862-1090, e-mail Michael.Shimazu@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci, (518) 862-1090 ext. 3335 or by email nancy.marucci@nyserda.ny.gov. Questions regarding Attachments D5, D6, and D7 should be directed to Nick Querques, (518) 862-1090 ext. 3086 (nicholas.querques@nyserda.ny.gov).

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

The proposal must be in the following format, with items in the sequence shown.

1. Proposal Checklist. Formailed or hand-delivered proposals only. The Full Proposal must include a completed Proposal Checklist attached as part of this solicitation (Attachment D1), included as the front cover of the proposal. Note the following:

- Indicate whether you accept the standard terms and conditions as contained in the Sample Agreement (Attachment D9). 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. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

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

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. Project Scope. To be selected for funding, Full Proposals must:

- Show a potential to reduce GHG emissions in New York State.
- Address energy-related challenges in New York State.
- Emphasize development of marketable products rather than basic research.
- Provide quantifiable benefits to New York State with respect to GHG emissions reductions, energy savings, and job creation and retention.
- Provide a summary discussion of the commercialization path appropriate to the stage of development of the proposed technology. 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.
- Provide cost-sharing by the proposer or third parties:
 - In the form of cash or in-kind labor, materials, equipment, facilities, and other resources, subject to reasonable and verifiable valuation. Co-funding may be from the proposer or other private or government sources. NYSERDA's funds cannot be used to reimburse or replace normal expenses or other government organizations.
 - Preferably in the amount of 50% or more of total project cost. The quality and quantity of the proposer's co-funding is examined during proposal evaluation. Cash, labor, and materials are considered superior to other types of co-funding. The level of co-funding is considered an indicator of the proposer's commitment to the success of the project and ability to secure support. The type and amount of co-funding offered should be appropriate for the proposer's financial condition and the product's stage of development. **See Section 8., Proposal Evaluation.**

4. Project Schedule, Phasing, and Teaming. The following guidelines should be considered when developing proposals:

- Projects are expected to begin within nine months of the proposal due date. The project schedule should not exceed 36 months.
- **A proposal requesting more than \$250,000 of NYSERDA funding must be separated into at least two phases, with each phase not exceeding \$250,000 of NYSERDA funding.** For a proposal requesting \$250,000 or less of NYSERDA funding, the proposer may opt to separate it into multiple phases, e.g., to display flexibility in funding options. For a multiphase project the proposer must:
 - Briefly describe all phases along with significant milestones, and provide an estimate of the total cost and schedule for all phases.
 - Teaming arrangements are encouraged, where appropriate, to enhance the

likelihood of project success. Teams may include commercial firms, industry associations, research organizations, universities, government agencies, end-users, and other stakeholders. **Include letters of commitment or interest from each identified team member in an appendix to the proposal.**

5. Proposal Narrative. Selected Concept Paper proposers will be asked to complete the Full Proposal package (Attachments D3 through D8), which includes the following sections:

- Executive Summary
- Statement of Work and Schedule
- Problem Statement and Proposed Solution
- Business Model Canvas
- State of Research and Technology Targets (TRL/CRL Calculator)
- Commercialization Potential of Proposed Product
- Three-Year Financial Projects Worksheet
- Demonstration Project Information
- Feasibility Study Information
- 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.

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

6. Other considerations. In addition, note that:

- A proposal may be considered **non-responsive** if it fails to comply with the requirements above, the Proposal Requirements of the General Conditions Section below.
- Prior to an award being made, potential awardees 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.

7. Recoupment and Metrics

Recoupment. For any new projects **exceeding \$75,000** that involve product development, including business development (see definition below), **NYSERDA will require recoupment (royalties) based on sales and/or licensing revenues for the new product developed** (Please see Attachment D9, Sample Agreement for specific recoupment obligations).

NYSERDA defines Product Development as follows:

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, scaleup, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement.

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

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

Annual Metrics Reports. If awarded, 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) and shall be submitted in accordance with a web-based form, which will be distributed by NYSERDA.

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

8. Full Proposal Evaluation

Full proposals will be reviewed by an Investment Evaluation Panel (IEP). The IEP may develop specific questions and request that the proposing team make a presentation of their proposed effort addressing those questions. Such a presentation may be conducted by phone or web conference or in person at a mutually agreeable time and location. The proposal will then be scored by the IEP according to the criteria **listed below in order of importance**. After the proposal is reviewed, NYSERDA will issue a letter indicating the proposal evaluation results. A proposer receiving favorable evaluations may be invited to enter into contract negotiations with NYSERDA.

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

- Show a potential to reduce GHG emissions in New York State?
- Address energy-related challenges in New York State?
- Provide direct, quantifiable energy, environmental, and economic benefits in New York State?
- Provide a summary of a credible commercialization pathway?
- Provide cost-sharing?

b.) Evaluation Criteria in Order of Importance.

- **Proposed Solution/Scope.** How significant is the identified problem or opportunity and how pertinent is it to New York State? Is the proposed project likely to solve the problem or exploit the opportunity? Is the proposed work technically feasible, innovative, and superior to alternatives? Is the work strategy sound? Can the strategy be tested, measured, and adjusted with ease?
- **Project Benefits.** How significant are the potential reductions in GHG emissions or energy use resulting from the project? Will there be economic benefits in New York State in the form of subsequent manufacturing or technical service activity, or job creation? Are there additional significant benefits, such as improvement in the resiliency to disasters? Will a significant part of the work on the project take place in New York State?
- **Market Potential.** Does the proposed project address a current challenge or opportunity that is not being addressed by others? Is the implementation or commercialization strategy well-conceived and appropriate for the stage of

development? Has the proposer adequately and correctly described the target customer, defined their value proposition, and identified a real demand for the proposed solution? Does the proposed solution have the potential for wide-scale replication? Is there a process or strategy in place to measure progress and success?

- **Project Team and Support.** To what degree does the team have relevant and necessary technical and business background and experience? Has the proposer previously commercialized any products? How firm are the commitments and support from essential participants, co-funders, and other organizations? Has the proposer demonstrated support from necessary market actors and potential customers?
- **Project Value.** Is the overall project cost justified based on the expected benefits? Relative to the project cost, how significant is the potential market or deployment opportunity? How appropriate are the proposer's co-funding contributions (sources and amounts) in view of the proposer's overall financial resources, degree of risk exposure, and potential to benefit from the work? Does the proposer have a reasonable plan for pursuing any additional funding necessary for full commercialization?

Other Considerations. The proposal's fit with NYSERDA's overall objectives will also be considered, including: risk/reward relationships, similar ongoing or completed projects, and the general distribution of research projects among industries, organizations, and locations in New York State.

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> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). 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 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/applicants) in approximately 4 weeks from the receipt of proposal submission 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.

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.

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 year's activities (i.e. reporting period). Metrics will be provided via a web-based form, which will be provided by NYSERDA. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

Attachments:

- PON 3249 Full Proposal - Attachment D1: Proposal Checklist-
For mailed or hand-delivered only
- PON 3249 Full Proposal - Attachment D2: Disclosure of Prior Findings of Non-Responsibility Form – **For mailed or hand delivered only**
- PON 3249 Full Proposal - Attachment D3: Problem Statement and Proposed Solution
- PON 3249 Full Proposal - Attachment D4: Statement of Work and Schedule
- PON 3249 Full Proposal - Attachment D5: Business Model Canvas
- PON 3249 Full Proposal - Attachment D6: TRL/CRL Calculator, Commercialization Potential of Proposed Product
- PON 3249 Full Proposal - Attachment D7: Three-Year Financial Projects Worksheet
- PON 3249 Full Proposal - Attachment D8 – Budget Form
- A PON 3249 Full Proposal - Attachment D9 – Sample Agreement

Commercial Tenant Program
Program Opportunity Notice (PON) 3308
\$5.75 million in available funds
REVISED April 2018

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

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

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

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

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

Architecture firms, engineering firms, energy consultants or other third-party entities well-versed in energy analysis and/or energy modeling can apply.

How to Apply:

- o Funding requests may be submitted via NYSERDA's online application portal:
<https://nyserda-portal.force.com/login>
- o For detailed application instructions, please refer to Section VI (Application Requirements & Process Overview).

Questions:

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

This Solicitation is divided into the following components:

Section I	Introduction
Section II	Eligibility
Section III	High Performance Track
Section IV	Basic Track
Section V	Project Payments
Section VI	Application Requirements & Process Overview
Section VII	General Conditions
Section VIII	Attachments

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

I. INTRODUCTION

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

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

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

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

II. ELIGIBILITY

SITES

- The space must be a commercial tenant Office Space, located in an existing building.
- The Office Space must be currently leased by a Tenant, or in the process of being leased by a Tenant. However, Landlords wishing to develop an energy efficiency package for vacant Office Spaces in a building are eligible.
- The Tenant or the building where the leased Office Space is located must be a New York State electricity customer of a participating utility company and must pay into the System Benefits Charge (SBC). NYSERDA reserves the right to ask for a utility bill to verify SBC contribution.
- There is no minimum square footage threshold for eligible Tenant Office Spaces.

The following are NOT eligible:

- Buildings, either new or that have undergone substantial renovations, that have been occupied for less than one year.
- Tenants building out new Office Spaces where construction is advanced or substantially completed.
- Owner-occupied spaces

PROGRAM PARTICIPANTS

Eligible program participants include commercial office tenants, commercial building owners and property managers who occupy an eligible site, as defined above. Participants must select an Energy Consultant (i.e. an architecture firm, engineering firm, and other third-party entity well-versed in energy analysis and/or energy modeling) to perform the energy analysis and apply to the Program on their behalf. This Energy Consultant must meet the minimum requirements for qualification listed below, depending on the chosen participation track.

ENERGY CONSULTANTS

Energy Consultants qualified as FlexTech Consultants, or as Primary Energy Consultants approved to provide technical support services under NYSERDA's New Construction Program, are automatically eligible to apply to the Program.

All other Energy Consultants must meet the qualifications criteria listed below. Energy Consultants must meet the qualifications that correspond to the level of energy analysis they will be conducting for their customers. Proof of qualifications must be submitted prior to an Energy Consultant engaging in its first project under the Program.

A. Qualifications to Perform High Performance Track Projects

Energy Consultants wishing to perform comprehensive, detailed energy analyses (with or without energy modeling) must provide documentation that proves compliance with the following criteria:

- **Company experience:** At least five (5) years of energy efficiency experience (i.e. executed energy audits or demand response projects).
- **Staff:** Provide the resume(s) that highlight *recent* experience of the personnel who will be directly involved in providing the technical services.
- **Work Sample:** Submit two (2) final reports for energy related work *completed within the past two years*, for an existing and occupied facility. The associated project scope of work and budget must be attached. The report must include:
 - An executive summary that outlines the project background, results, and recommendations.
 - Detailed engineering calculations and data to support the energy savings estimates.
 - A list of personnel who completed the work sample.
 - The customer's contact information for reference checks.

NYSERDA reserves the right to request additional information and data to confirm compliance with these qualifications criteria. If an Energy Consultant wishes to use energy modeling for their energy analysis, NYSERDA also reserves the right to ask for additional documentation to confirm the firm's competencies in that area.

B. Qualifications to Perform Basic Track Projects

Energy Consultants wishing to perform basic energy assessments (ASHRAE Level 1 equivalent) must provide documentation that proves compliance with the following criteria:

- **Company experience:** At least three (3) years of energy efficiency experience (i.e. executed energy audits or demand response projects).
- **Staff:** Provide the resume(s) that highlight *recent* experience of the personnel who will be directly involved in providing the technical services.
- **Work Sample:** Submit two (2) final reports for energy related work *completed within the past two years*, for an existing and occupied facility. The associated project scope of work and budget must be attached. The report must include:
 - An executive summary that outlines the project background, results, and recommendations.
 - Appropriate calculations and data to support the energy savings estimates.
 - A list of personnel who completed the work sample.
 - The customer's contact information for reference checks.

NYSERDA reserves the right to request additional information and data to confirm compliance with these qualifications criteria.

The Energy Consultants must also provide documentation for any subcontractors involved in a study that demonstrates that the subcontractors have the necessary expertise and resources to execute the proposed work. All information related to the subcontractor must be included in the scope of work.

III. HIGH PERFORMANCE TRACK

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

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

1. **Custom package:** A custom package is developed for a specific Tenant Office Space in a specific building. It includes a detailed energy analysis or energy model of the Office Space, a list of energy efficiency measures and a detailed financial analysis – and it is intended to inform the Office Space design or comprehensive improvement of the Office Space. It takes into account the Tenant’s unique programmatic requirements, performance targets and sustainability goals. Funding for this package ranges from 50% to 100% of eligible project costs. In the rare instance where a Building Owner commissions a Custom Energy Efficiency Package, the Energy Consultant should discuss project details with the NYSERDA Project Manager to verify eligibility.
- **Generic package:** A generic package is developed for a “typical” Office Space in a specific building. This option exists for Landlords who are interested in facilitating a conversation about energy efficiency with their Tenants – both new and existing. It includes a detailed energy analysis or energy model of a typical Office Space, a list of energy efficiency measures applicable to typical Tenant Office Spaces in the building (based on the characteristics of the base building systems), and a financial analysis. Funding for this package ranges from 50% to 100% of eligible project costs.

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

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

- o Commissioning the package to inform the development of energy efficiency standards for a building.

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

Scope of Work Requirements and Deliverables

For information on scope of work requirements and deliverables for High Performance track projects, please refer to Attachment B (Scope of Work Requirements and Deliverables). For more information on what information should be contained in the final report, see Attachment D.1 (Final Report Requirements).

Measurement and Verification for High Performance Projects

Tenants who install at least one (1) of the measures recommended in the energy efficiency package may receive measurement and verification (M&V) services **at no cost**. The purpose of this M&V is to measure actual energy performance after the energy efficiency measures are in place and verify the energy savings predicted by the custom energy model or detailed energy analysis. This will enable the Tenant to fully identify, understand and capitalize on the benefits of the work undertaken as part of this Program. To comply with the M&V requirements, Tenants selected to receive no cost M&V services shall allow NYSERDA and its Technical Reviewer to collect data and access the Tenant Office Space. Specifically:

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

Funding for High Performance Projects

- NYSERDA will not fund any work that has been completed prior to the receipt of an Application.
- No single Energy Consultant may receive more than 30% of total program funding (or \$1,725,000), regardless of the number of projects submitted.
- NYSERDA reserves the right to limit the number of high performance track projects conducted by any single Energy Consultant, Tenant, or Landlord or other eligible applicant as defined in Section II (Eligibility).

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

1. Custom Energy Efficiency Package

- NYSERDA will provide up to 50% of the costs to generate the energy efficiency package, upon approval of the final report.
- If a Tenant installs recommended energy efficiency measures from the package, NYSERDA will reimburse Energy Consultants the remaining portion of the technical assistance costs, as follows:
 - o NYSERDA will provide the remaining 50% of the eligible technical assistance costs, for a total of 100% cost share, if:
 1. the Tenant installs ALL recommended energy efficiency measures with a payback of less than 3 years, **OR**
 2. NYSERDA will reimburse the Tenant for the installation costs of any recommended energy efficiency measure, not to exceed the remaining 50% of the technical assistance costs, whichever is lower.
 - o Implementation must occur within two years of purchase order issuance date. **No exceptions will be made.**
 - o The Tenant must demonstrate that the energy efficiency measure(s) has been installed. This can be done via a site inspection (performed by the NYSERDA Project Manager or the Technical Reviewer assigned to the project), or by submitting invoices and pictures of the installation.
- In the case where a Building Owner commissions a Custom Energy Efficiency Package, the Energy Consultant should discuss project details with the NYSERDA Project Manager at the Application stage to verify if the project would be eligible for a 100% cost-share.

2. Generic Energy Efficiency Package

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

In order to qualify for the additional 50% reimbursement under this package, a Landlord must provide supporting documentation that demonstrates 1) what

outreach activities have been undertaken (including any email communications, letters, Tenant outreach campaigns, etc.), or 2) a letter from a Tenant in the building that has engaged in energy efficiency activities as a result of the generic package being presented to them, or 3) a copy of the building's leasing packet that includes the generic package.

Conditions and Limitations for High Performance Projects

For Custom Energy Efficiency Packages:

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

For Generic Energy Efficiency Packages:

- The energy analysis or energy model produced for a generic project must include at least one (1) typical floor of leased Tenant Office Space and the energy efficiency package must provide energy savings measures applicable to more than one (1) typical Tenant within the building.
- The Landlord or manager must be willing to provide the Generic Package to all Tenants.
- The Generic Package must be completed within two years of Purchase Order (PO) issuance. Failure to complete the energy efficiency package within the two-year timeframe will result in project cancellation.
- NYSERDA reserves the right to limit the number of energy efficiency packages created in any building or portfolio of buildings.

IV. BASIC TRACK

This track is best suited for Tenants who are interested in gaining a general understanding about their energy efficiency status and identify ways to improve their energy and environmental performance. This approach consists of a basic energy efficiency assessment to identify energy saving opportunities,

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

Scope of Work Requirements and Deliverables for Basic Track Projects

For information on scope of work requirements and deliverables for basic track projects, see Attachment B (Scope of Work Requirements, Deliverables and Template). For more information on what information should be contained in the final report, see Attachment D.1 (Final Report Requirements)

Measurement and Verification for Basic Track Projects

There are no measurement and verification requirements for this track.

Funding for Basic Track Projects

- NYSERDA will not fund work completed prior to NYSERDA's receipt of the Application.
- No single Energy Consultant may receive more than 30% of total program funding (or \$1,725,000), regardless of the number of projects submitted
- NYSERDA reserves the right to limit the number of basic track projects conducted by any single Energy Consultant, Tenant or Landlord or other eligible applicant as defined in Section II (Eligibility).

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

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

Conditions and Limitations for Basic Track Projects

- The Tenant is not required to implement any of the energy saving measures provided in the energy assessment. If the Tenant does not implement any of the improvements suggested in the energy efficiency package, NYSERDA may survey the Tenant to understand why none of the recommended energy efficiency measures were installed. This feedback will provide valuable input for future commercial tenant initiatives.

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

V. PROJECT PAYMENTS

- All invoices and other reimbursement documentation must be uploaded to the online application portal (<https://nyserda-portal.force.com/login>)
- Progress payments will be approved upon discretion of the NYSERDA project manager. No more than 80% of NYSERDA's cost share will be issued until a final report is approved.
- Expenses are capped at 3% of total project cost.

FOR PROJECTS IN THE HIGH PERFORMANCE TRACK

- NYSERDA will contribute up to 50% of the project cost directly to the Energy Consultant, subject to the maximum dollar amount listed in the issued Purchase Order, and not to exceed the \$50,000 cap.
- The Customer under contract with the Energy Consultant is responsible for paying the remaining balance of the project costs, under the terms and conditions to be negotiated by the Energy Consultant and the Customer. As proof that the Customer has paid their portion of the cost-share, NYSERDA may require a copy of the Customer's canceled check.
 - **If the Tenant installs recommended energy efficiency measures from a custom package:**
 - At the conclusion of the installation and upon receipt of the required documentation, NYSERDA will reimburse the Tenant up to the remaining 50% of the project costs, subject to the maximum dollar amount listed in the issued purchase order, and not to exceed the total project incentive of \$50,000.
 - Reimbursement will be based on the energy efficiency measures installed, invoices and other documentation deemed necessary by NYSERDA.
 - As proof that the Tenant has installed the energy efficiency measures, NYSERDA may require a copy of the installation invoices, pictures of the installed systems or equipment, and/or request a site inspection.
 - In order to request the full 100% cost share, the Tenant must submit Attachment F (Request for Disbursement of 100% Cost-Share)
 - Unless otherwise noted, payments will be sent to the Tenant listed in the Commercial Tenant Project Application.
 - The Tenant can designate the Energy Consultant as the Payee. This should be done in Attachment F (Request for Disbursement of 100% Cost-Share).

Required Documentation: To process payment, NYSERDA must receive the following documentation: 1) an invoice from the Tenant to NYSERDA (or from the Energy Consultant to NYSERDA, if the Energy Consultant is designated as the Payee by the Tenant), and 2) a copy of the invoice(s) for the installation of the energy efficiency measures (including labor and non-labor costs). As proof of payment, if applicable, NYSERDA may require a copy of the Tenant's canceled check indicating the total amount paid for the installation of the energy efficiency measures. NYSERDA reserves the right to ask for additional information to corroborate compliance with Program rules.

- **If the Landlord conducts Tenant engagement activities as part of a generic package:**
 - At the conclusion of the project and upon receipt of the required documentation, NYSERDA will reimburse the Landlord up to the remaining 50% of the project costs, subject to the maximum dollar amount listed in the issued purchase order, and not to exceed the total project incentive of \$50,000.
 - Reimbursement will be based on the delivery of a Tenant Engagement Plan (or comparable materials), and documentation of other completed tenant engagement activities as listed in Section II (High Performance Track).
 - In order to request the full 100% cost share, the Landlord must submit Attachment F (Request for Disbursement of 100% Cost-Share)
 - Unless otherwise noted, payments will be sent to the Landlord listed in the Commercial Tenant Project Application
 - The Landlord can designate the Energy Consultant as the Payee. This should be done in Attachment F (Request for Disbursement of 100% Cost-Share).

Required Documentation: To process payment, NYSERDA must receive the following documentation: 1) an invoice from the Landlord to NYSERDA (or from the Energy Consultant to NYSERDA, if the Energy Consultant is designated as the Payee by the Landlord, and 2) a Tenant Engagement Plan (or comparable materials), 3) and, either materials detailing the outreach activities that have been undertaken (including any email communications, letters, Tenant outreach campaigns, etc.); or a letter from a Tenant in the building that has engaged in energy efficiency activities as a result of the Generic Energy Efficiency Package being presented to them; or a copy of the building's leasing packet including the Generic Energy Efficiency Package. NYSERDA reserves the right to ask for additional information to corroborate compliance with Program rules.

FOR PROJECTS IN THE BASIC TRACK

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

VI. APPLICATION REQUIREMENTS & PROCESS OVERVIEW

ONLINE APPLICATION PORTAL

Energy Consultants should submit funding requests via NYSERDA's online application portal. In order to use the portal, Energy Consultants must first register by following these steps:

1. Register for the application portal here: http://nyserda-site.force.com/Core_Registration_Page?programName=Commercial_Tenant
2. Validate email address and company address.

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

Electronic submission: If the online portal isn't available, Energy Consultants can submit applications electronically, by sending all required documentation to commercialprograms@nyserda.ny.gov:

- Proof of Qualifications of Energy Consultant (if required)
- Commercial Tenant Project Application (Attachment A.1 or A.2)
- Scope of work
- Proposed Budget (Attachment C)

Mail: Applications may be mailed to NYSERDA, Commercial Tenant Program, 17 Columbia Circle, Albany, N.Y. 11203

APPLICATION REVIEW PROCESS

Once NYSERDA receives an application, the following will occur:

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

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

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

NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at https://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf).

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA may award a Purchase Order based on Applications without discussion, or following limited discussion. NYSERDA may request additional data or material to support submissions including scope of work modifications or negotiations before issuing a Purchase Order. Each offer should be submitted using the most favorable cost and technical terms. A sample Purchase Order is available on request. NYSERDA expects to notify customers in approximately three (3) weeks from the receipt of a complete project package whether the submission has been selected to receive an award.

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

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

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

VIII. ATTACHMENTS

- Attachment A.1 Commercial Tenant Project Application- Basic Project
- Attachment A.2 Commercial Tenant Project Application – High Performance Project
- Attachment B Scope of Work Requirements, Deliverables and Template
- Attachment C Proposed Budget Template
- Attachment D.1 Final Report Requirements
- Attachment D.2 Basic Energy Assessment Report Checklist - Basic Track Project
- Attachment E Energy Modeling Guidelines
- Attachment F Request for Disbursement of 100% Cost-Share
- Attachment G Terms and Conditions

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

**Applications due June 8, 2018*
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.

Informational Sessions: NYSERDA will hold two non-mandatory, informational sessions to provide an overview of the program and answer questions. It is encouraged that questions be submitted in advance to Kathleen.Dooley@nyserda.ny.gov. To register for the first informational session on November 15 at 10:30am, follow the instructions here: <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=e4a720c4e65d7a4116a073f600cd4ccb0>. To register for the second informational session on January 10 at 10:00am, follow the instructions here: <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=e968e6bd7a27246d8040f9c56a5b9db8a>. Questions and Answers resulting from these sessions will be posted online at <https://www.nyserda.ny.gov/sem>.

Application Submission: Electronic submission is preferable. Applicants may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. For ease of identification, all electronic files must be named using the applicant’s facility name in the title of the document. NYSERDA will also accept applications by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit an application (electronic or paper submission), click the link for the Application Instructions and Portal Training Guide within the Industrial Strategic Energy Management: Pilot Solicitation in the “Current Opportunities” section of NYSERDA’s website (<https://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 or Megan Fisher, 212-971-5342 x3627, 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.

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

I. INTRODUCTION

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

Strategic Energy Management (SEM) is a long-term holistic approach to managing energy use which goes beyond the sporadic implementation of energy efficiency improvements. The Pilot will prove the value of SEM at industrial facilities; demonstrating that integrating energy management as a core business practice and applying principles of continuous improvement will foster substantial, long-term savings. 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; 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 one or more cohorts of up to 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. NYSERDA reserves the right to determine number of cohorts and cohort size based on applications received.

II. DEFINITIONS

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. At the time of this solicitation, Vermont Energy Investment Corporation (VEIC) and Cascade Energy are under contract with NYSERDA to perform Energy Coach duties.

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

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 twelve (12) 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. For information on the program start date and pre-launch meetings for selected Participants, visit the website at <https://www.nyserda.ny.gov/sem>.

The training session curriculum covers the topics indicated in the outline below. This outline also includes the schedule for the program as well as the session type. Please note that travel will be required for the group workshops. The group workshops gather all Participants in the cohort and will be held either at Participant facilities or in meeting spaces across the state. The individual training sessions occur on-site for each Participant and are tailored for each specific Participant's needs and goals. It is required that the identified Energy Champion attend all training sessions. The Executive Sponsor and Energy Team members are invited to attend all the training sessions, and are strongly encouraged to attend the webinar sessions as well as the individual training sessions.

Month	Training Session	Session Type	Objective
1	Establishing an SEM Program	Full Day Group Workshop	Introduction to SEM and how to get started at your company How to jumpstart organizational change through quick wins
2	Saving Energy	Full Day Group Workshop	Provide strategies for achieving quick wins and organizational buy-in Explore systems basics and common opportunities for energy savings Develop near-term technical opportunities using straight-forward concepts, processes and tools
2	Metering Toolkit	Webinar	Develop skillset needed to utilize temporary data metering hardware to identify energy-saving opportunities Introduction to energy intensity modeling
2-4	Energy Map	Individual Training	Learn how to increase awareness and visibility of where and how energy is consumed in participant facilities

			How to prioritize energy efficiency opportunities
2-4	Treasure Hunt	Individual Training	Training on the Treasure Hunt process Jumpstart SEM adoption through a list of actionable energy savings opportunities
5	Tracking Energy Performance	Half Day Group Workshop	Learn to quantify the value energy efficiency activities generate as quick wins are achieved Use customized energy intensity models and other analytical tools to assess and measure energy performance
7	Engaging Employees	Half Day Group Workshop	Learn organizational development strategies Learn to manage culture change through employee engagement and recognition
7-9	Employee Engagement Toolkit	Webinar	Learn to translate employee engagement strategies into actions for each participant
8-9	Onsite Energy Management Assessment	Individual Training	Explore existing energy management practices for participants Identify strengths and weaknesses in current energy management practices, organizational barriers, and baseline performance to measure progress Motivate leadership to address gaps
9-10	Onsite Employee Engagement	Individual Training	The Energy Team receives assistance with at least one initiative from the Employee Engagement Toolkit at their facilities
10	Making it Stick	Half Day Group Workshop	Teach participants how to create enduring management systems Learn from fellow participants through a series of collaborative exercises
12	Celebrating Accomplishments	Half Day Group Workshop	Celebrate and recognize accomplishments and generate enthusiasm for continued focus on energy Work with the Energy Coach to prepare a presentation of participants' SEM story

Program Deliverables:

During Pilot

- Participation in all 12 training sessions over 12 months;
- Monthly deliverables as assigned during cohort training sessions including:
 - o The completion of Energy Management Assessments to benchmark and track progress;
 - o The development of facility goals and metrics;
 - o The creation and maintenance of an Energy Intensity Model;
 - o The identification of energy drivers and energy savings opportunities; and

- o The development and execution of employee engagement activities
- Annual energy savings report documenting results from efficiency projects; and
- Peer-to-peer sharing with other cohort members.

Post Pilot

- Bi-monthly Office Hour check-ins, Bi-monthly SEM Implementation check-ins, and Bi-monthly Energy Intensity Model Maintenance check-ins with NYSERDA and the Energy Coach via teleconference for one year following the Pilot;
- Quarterly submission to NYSERDA of the site's opportunity register with energy savings results from implemented energy projects for the length of the Participation Agreement;
- Support development of case study, including savings metrics; and
- Future sharing of information as needed for Pilot evaluation.

IV. ELIGIBILITY

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

V. APPLICATION REQUIREMENTS

Strategic Energy Management Application package, required documentation:

1. Current, complete electric 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

Applications will be reviewed every three (3) weeks. Applications that meet the application requirements will be reviewed by a Scoring Committee using the Evaluation Criteria identified below. After the applications are reviewed, NYSERDA will notify each applicant indicating the evaluation results no later than 6 weeks after the application due date. 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. Obtaining 70% of the points outlined below is the minimum threshold for acceptance.

Participant Commitment

- Potential Participant demonstrates strong commitment from an Executive Sponsor to support pursuing long-term strategic energy management – up to 5 points
- Potential Participant demonstrates commitment to investing capital in energy efficiency improvements – up to 3 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 – 1 point

Energy Efficiency Savings Potential

- Potential Participant demonstrates they have high energy usage and/or cost – up to 3 points
- Potential Participant indicates that energy is a high cost relative to other organizational costs –1 point
- Potential Participant has multiple locations across NYS – 1 point

Knowledge

- Potential Participant demonstrates energy efficiency competency through the successful implementation energy efficiency projects and activities – up to 5 points
- Potential Participant tracks energy data in their facility – 1 point
- Potential Participant demonstrates internal energy-focused initiatives (e.g. existing energy policy, corporate energy goals, energy plan, sustainability plan, or sustainability reporting) – up to 2 points
- Participation in external energy-focused initiatives (e.g. Factory of the Future or Better Plants) – 1 point

Culture

- Experience with systematic behavioral management systems (e.g. ISO9000, lean, TQM, 5S, Six Sigma, Kaizen, etc.) – up to 5 points
- Company has an internal training structure in place – 1 point
- Company has a practice of celebrating success – 1 point

Programmatic Considerations: In order for the Pilot to be as compelling as possible to the NYS market, NYSEERDA 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 NYSEERDA and sent back to the Participant for their records. The Scoring Committee will meet and evaluation results will be returned to Participants no later than 6 weeks after the due date.

Denied Applications: Applicants whose applications are denied may request a de-briefing and may apply to a future cohort.

VII. GENERAL CONSIDERATIONS

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

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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

Attachment A: Strategic Energy Management Cohort Participant Application
Attachment B: Participation Agreement
Attachment C: Letter of Commitment Requirements

REV Campus Challenge Technical Assistance for Roadmaps

Program Opportunity Notice PON 3438

Applications accepted on a first come, first served basis through December 31, 2019 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 NYSERDA 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. A limited amount of funding is also available to non-SBC-paying Long Island Power Authority (LIPA) customers. A note will be added on the Current Funding Opportunities Page¹ when a particular funding source is no longer available.

How to Apply:

Program funding requests **must be** submitted to commercialprograms@nyserda.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, Attachment B: Roadmaps Scope of Work Template, and Attachment C: Sample Budget Template)
- Collaborative Commitment(s) – as applicable, for use when REV Campus Challenge members are collaborating on a single Application (Attachment D)

Program questions can be directed to: Lindsay Holle, 518-862-1090 ext. 3051, revcampuschallenge@nyserda.ny.gov.

Contractual questions should be directed to: Nancy Marucci, 518-862-1090 ext. 3335, Nancy.Marucci@nyserda.ny.gov.

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

¹ <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>

I. Introduction

Launched in October 2015, the REV Campus Challenge promotes clean energy efforts by recognizing and supporting New York State (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. A limited amount of funding is also available to non-SBC-paying Long Island Power Authority (LIPA) customers. If you are a REV Campus Challenge member interested in this Program and are unsure if you meet this eligibility criterion, please contact NYSERDA at revcampuschallenge@nyserda.ny.gov.

II. Program Details

Program Definitions and Parameters

Institution: The two- or four-year, public or private, college, university, or community college seeking Roadmaps technical assistance. The Institution must be a REV Campus Challenge member.

Energy Consultant: The third-party consultant hired by the Institution to assist in developing and implementing the Project. The third-party consultant may also be a NYSERDA FlexTech Consultant.

Applicant: The entity receiving the approved incentive amount upon Project completion. In some cases, the Applicant will be the Institution. However, a NYSERDA FlexTech Consultant may also apply on behalf of the Institution.

Project: The work to be completed as defined by the approved scope of work.

The Project must be ready to commence within three (3) months of the issued NYSERDA purchase order date.

NYSERDA is not committed to cost-sharing an application until a Purchase Order (PO) is issued. Institutions and Energy Consultants are encouraged to commence work after NYSERDA issues a PO. Commencement of Project activities prior to receiving a PO is at their own risk.

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

Unless otherwise negotiated, all work funded under this program must be completed within two (2) years of issuance of the PO.

Funding

Available 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 Institution.

Funding must be used to hire an 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.

The Institution's cost-share must be in the form of cash contribution to the project. In-kind contribution is allowable up to 15% of Institution's cost-share amount.

Institution Responsibilities

Institutions must be current REV Campus Challenge members and identify an Energy Consultant with whom they will partner to complete the Project. Institutions may use their own Energy Consultant or may choose from NYSERDA's list of FlexTech Consultants.

- Visit www.nyserda.ny.gov/rev-campus-challenge/ to become a REV Campus Challenge member.
- Visit www.nyserda.ny.gov/flextech for the current listing of FlexTech Consultants.

If the Institution elects to use a FlexTech Consultant, the FlexTech Consultant may apply on the Institution's behalf. Otherwise, the Institution will be the Applicant.

The Institution must:

- Designate a supervisor (i.e. the Institution's REV Campus Challenge point of contact) to oversee the Energy Consultant and manage the Project and deliverables. This designee must be a staff or faculty member currently employed by the respective Institution.
- Be willing to 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.

Institution and Energy Consultant Responsibilities

The Institution and its 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 the Project.
- Identify clear, prioritized follow-up actions as part of a Roadmap for the Institution to pursue as a means of maintaining momentum toward achieving its 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 Institution and its Energy Consultant based on opportunities uncovered during the completion of the Project.
 - 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 Project.

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.**

Table 1: Eligible Scope of Work Activities	NYSERDA Cost Share (% of total activity cost)
Establish reporting protocol and report to voluntary third-party energy or GHG certification organizations (i.e. AASHE STARS, the Climate Commitment, NYC Carbon Challenge)	100%
Establish 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 for clean energy projects	50%
Assistance in developing clean energy project contracting and procurement	50%
Purchase and/or install 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:

- Commissioning, including retro-commissioning
- Activities lacking a clear link to achieving energy savings and/or 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.

- Funding provided through this Program is on a per-Institution basis, so applying jointly will NOT negatively affect funding provided.
- The Application must designate a single Institution to be the lead Institution. The lead Institution:

- Will 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 D).
- The scope of work must clearly identify which tasks apply to each Institution. The scope of work must follow the requirements and preferred format in Attachment B: Roadmaps Scope of Work Template
- 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.

Student Intern Bonus

Student engagement is encouraged. A bonus of up to \$4,000 may be applied to cover the cost of utilizing a student intern(s) to assist in the completion of the Roadmap. Institutions may share student interns. Each REV Campus Challenge member is eligible for one (1) bonus of up to \$4,000 under this Program. This bonus is in addition to the \$150,000 cap above. The Student Intern Bonus is capped at the lesser of 10% of the NYSERDA cost-share, or a maximum of \$4,000.

- The use of student interns is strongly encouraged to support the execution of the Project, 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 Project, 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 Institution. 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 Project.
 - 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 included as a task in the scope of work (Attachment B).

III. Application Requirements

Application Submission

Program funding requests must be submitted to commercialprograms@nyserda.ny.gov

and include the following:

1. Technical Assistance for Roadmaps Application (Attachment A)
2. Scope of work including schedule. The submitted scope of work must follow the structure and guidelines established in Attachment B: Roadmaps Scope of Work Template
3. Task-by-task budget (see Attachment C: Sample Budget Template)
4. Collaborative Commitment(s) – as applicable, from REV Campus Challenge members applying under one Application (Attachment D)

Application forms are available at www.nyserda.ny.gov/rev-campus-challenge.

NYSERDA will review the submitted Application and respond to the Applicant (either the Institution or a FlexTech Consultant applying on behalf of the Institution, see Section II: Program Details) 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.

IV. Final Deliverables and Invoicing

Upon scope of work completion, the Applicant (either the Institution or a FlexTech Consultant applying on behalf of the Institution, see Section II: Program Details) 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 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. NYSERDA may engage a third-party engineering firm, at no cost to the Institution, to assist in review of the final report. The Energy Consultant authoring the final report should budget time for revision(s) to the final report, subject to 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 E: Sample Terms and Conditions). The Applicant may invoice NYSERDA as they incur costs in completion of the scope of work, not to exceed 50% of the Purchase Order amount. 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

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

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$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). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial Applications without discussion, or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support 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 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 - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

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

VI. Attachments

Attachment A: Technical Assistance for Roadmaps Application

Attachment B: Roadmaps Scope of Work Template

Attachment C: Sample Budget Template

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

Attachment E: Sample Terms and Conditions



Plug-In Electric Vehicle (PEV)-Enabling Technology Development and Demonstration Program
Program Opportunity Notice (PON) 3578

\$3,500,000 Available

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

Proposals Due Dates:

Round 1: February 6, 2018 by 3:00 PM Eastern Time*
Round 2: September 18, 2018 by 3:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) seeks research proposals to explore innovative policies or strategies to expand the plug-in electric vehicle (PEV) market and accelerate PEV adoption and demonstration proposals of new technologies and strategies that help overcome barriers to the market adoption of PEVs and make them more economically viable while reducing their impact on the electric grid and environment in New York State. Proposals should focus on research, results, or strategies that can become economically viable on their own and be replicated and implemented throughout the State in the near term to advance PEV acceptance. This solicitation is not intended to pay for projects that are primarily for electric vehicle supply equipment (EVSE) deployment. Two solicitation rounds are anticipated, and all, some, or none of the available funding may be allocated in total and in any one round.

Proposal Submission: Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). For detailed instructions on how to submit electronically, click the link titled "Application Instructions and Portal Training Guide" located on this PON's webpage.

NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. If mailing or hand-delivering, proposers must submit (2) paper copies of their Proposals, along with either a PDF or MS Word digital copy of the Proposals, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

Jillina Baxter, Proposals, PON 3758
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

If you have technical questions concerning this solicitation, contact Patrick Bolton (Designated Contact) at (518) 862-1090 ext. 3322 or by e-mail patrick.bolton@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090 ext. 3335 or by e-mail nancy.marucci@nyserda.ny.gov. Questions regarding Attachments C2-C4 should be directed to Nicholas Querques (Designated Contact) at (518) 862-1090 ext. 3086 or by e-mail nicholas.querques@nyserda.ny.gov.

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

***Please note that there are required questions that you will have to answer electronically in addition to uploading attachments, so you should allot at least 60 minutes to enter and submit a Proposal. The electronic proposal system closes promptly at 3:00 PM Eastern Time on the due dates noted above.** 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

There are 11 million vehicles registered in New York State (approximately 8.5 million light-duty, 2.5 million medium- and heavy-duty), but only about 20,000 plug-in electric vehicles (PEVs). New York State has been leading the push for wider PEV adoption through Governor Andrew M. Cuomo's Charge NY initiative established in 2013, which sets a goal of 30,000 to 40,000 PEVs and 3,000 charging stations on New York roads by 2018. The initiative also includes regulatory reforms, efforts to increase understanding of the benefits of PEVs by consumers, and new technology advances in the industry. PEVs have only really been available since 2011, and have seen strong initial adoption, but New York aims much higher. New York has also adopted the California Zero Emission Vehicle (ZEV) regulations, which require automakers to sell an increasing number of PEVs in New York State. In 2013 New York joined with seven other states that have adopted these regulations to collaborate on measures that will advance the PEV market in those states. Collective action is critical for advancing PEVs, because the market is so much larger than New York State and vehicle costs, styles, and features depend on many market forces beyond New York State's influence.

PEV adoption is held back by low consumer awareness, price differentials with gasoline vehicles, and a lack of fueling infrastructure, among other barriers. PEVs will play a critical role in achieving New York's greenhouse gas (GHG) reduction goals and present an opportunity to provide significant benefits to New York State residents.

To help the PEV market become truly viable, the economics and impacts of PEV charging infrastructure must also improve. There is a need for new policies and technologies to reduce the strain on the electric grid from electric vehicle supply equipment (EVSE) and keep the cost of charging PEVs down. Distributed generation, on-site energy storage, and software to integrate charging loads can all help reduce electric grid strains and demand charges. Emerging technologies like vehicle-to-building and vehicle-to-grid services could allow PEVs to generate additional revenue or provide extra value as a backup electric generator of sorts.

New business models need to emerge that make charging station ownership a profitable venture. Currently, upfront costs can be hard to recover because of low usage, expensive installations, demand charges, and consumers' low willingness to pay. Reducing initial costs and tying EVSE ownership to other revenue streams may help attract additional private investments in PEV infrastructure.

Solicitation Goals and Focus Areas

The goal of this solicitation is to help overcome market and technology barriers to broader PEV adoption by researching, developing, and demonstrating new technologies, strategies, and policies that can reduce some of the financial, economic, practical, consumer awareness, policy and behavioral barriers currently facing the industry. This includes projects that help make PEVs more desirable for consumers and more economically viable, while lowering their impact on the electric grid and maximizing their environmental benefits. In funding this solicitation, NYSERDA seeks to develop, advance and demonstrate new technologies, strategies, business models, education initiatives, and policy ideas that support the expansion of the PEV market and PEV industry in New York State. NYSERDA is also interested in projects that will study and/or demonstrate existing technologies and strategies that have not been applied to the PEV market or have not been demonstrated in New York.

Of particular interest are technologies and strategies that can better integrate PEVs into the electric grid, improve the user experience for PEV drivers, reduce the cost of deploying PEV charging infrastructure, ease financial and regulatory obstacles to PEV adoption, and increase consumer awareness and market demand for PEVs. Proposals should focus on new concepts that can have a broad market impact, as well as research, empirical results, and replicable strategies that can be transferred and implemented throughout the State to increase the market penetration of PEVs. Because the PEV market is evolving rapidly, projects with short timeframes that will

produce results that can easily be incorporated into the PEV market quickly are preferred. Proposers are expected to be able to explain why their project is important for expanding the PEV market and how it will influence the market. New products and product demonstrations should show a clear path to economic viability and replicability at a larger scale. Industry involvement in research studies and academic work is strongly encouraged to ensure that projects are addressing a real commercial need.

Projects **MUST** address one or more of the following Focus Areas, which should be identified in the proposal. Proposals that do not address one or more of the Focus Areas may be considered unresponsive.

- Controlling electric demand and managing demand charges from charging PEVs, including alternative approaches to rate designs
- Innovative business models for the ownership of and generation of revenue from EVSE, especially DC fast chargers
- Innovative approaches to increasing PEV usage among low- and medium-income drivers
- Innovative approaches to PEV car-sharing services, businesses or applications
- Medium/heavy duty electric vehicle component or vehicle development, and charging standards and equipment for medium and heavy-duty electric vehicles
- Novel consumer-focused activities that increase awareness, understanding, and exposure to PEVs
- Opportunities to incorporate PEVs into smart mobility projects
- Use of behavior-based strategies to influence PEV and EVSE adoption
- Business models for the expansion of the secondary market for used PEVs

For reference, the following projects are already underway; proposing similar projects may be duplicative of ongoing work:

- Benefit-cost analysis of PEVs in relation to the electric grid and electric utilities and ratepayers
- Demonstration of co-locating DC fast chargers and battery energy storage
- Workplace charging outreach
- Development of novel wireless charging system
- Development of novel switched reluctance motor
- Development of kit for upfitting package delivery trucks to PEVs
- Support for transit agencies' integration of electric buses into operations
- Demonstration of car dealer PEV sales incentives
- Car dealer PEV trainings
- Electric school bus education campaign
- Study of alternative fleet PEV procurement methods for state agency
- Study of best practices for planning boards to incorporate PEVs into proposed projects
- Demonstration of PEV charging stations on light posts in off-street parking lots
- Study of on-street PEV charging obstacles in NYC
- Study of PEV battery second-life economics and technical feasibility
- Feasibility study of residential PEV car-sharing
- Demonstration of a community electric car share program
- Feasibility study to assess the market for zero emission transportation refrigeration

II. PROGRAM REQUIREMENTS

Funding Categories. Four categories will be considered for funding. Proposals must identify which single category they are applying for:

1. **Technical Feasibility Studies:** Category 1 is for feasibility studies that conduct preliminary research into the concepts underlying new products, systems, or services as a first stage of product or service development. These studies are necessary precursors to ultimate product development and commercialization. Feasibility studies may include conceptual design, technology and market assessments, and similar early-stage studies. NYSERDA's share of funding for any project of this type will be limited to a maximum of \$75,000. All Category 1 projects are required to provide at least **50%** of total project costs in non-NYSERDA matching funds.

2. **New Product Development:** Category 2 includes efforts that are crucial to the development of a marketable product, system, or service and any demonstration, testing, or validation of an innovation that is not already commercially available in an application with high impact on the PEV market. NYSERDA's share of funding for any project of this type will be limited to a maximum of \$500,000 per proposal. All Category 2 projects are required to provide at least **50%** of total project costs in non-NYSERDA matching funds. **In addition, any Category 2 proposal requesting more than \$250,000 of NYSERDA funds must be structured in at least two phases, with each phase not exceeding \$250,000 of NYSERDA funding.**
3. **Policy Feasibility and Market Research Studies:** Category 3 is for research studies to investigate either a) the feasibility of whether and how commercially-available technologies and strategies could be applied beneficially to the PEV market in NYS, b) the feasibility of whether and how novel policies or initiatives could be implemented by NYS or NYS-based entities like municipalities or utilities to benefit the PEV market, or c) other market research topics that could be used by NYS or NYS-based entities to better address and expand the PEV market. NYSERDA's share of funding for any project of this type will be limited to a maximum of \$100,000. All Category 3 projects are required to provide at least **25%** of total project costs in non-NYSERDA matching funds.
4. **Demonstration of Technologies, Business Models, and Engagement Programs:** Category 4 is aimed at demonstrating emerging PEV-related technologies, services, or strategies that are commercially available but have not yet been significantly deployed in New York State. This includes hardware, software, policies, and market development initiatives, such as consumer engagement campaigns. An example could be a non-proprietary charging system for electric transit buses that is in use in Europe but not yet sold or demonstrated in New York. NYSERDA's share of funding for any project of this type will be limited to a maximum of \$500,000. Category 4 projects requesting less than \$300,000 are required to provide at least **25%** of total project costs and those requesting \$300,000 or greater are required to provide at least **35%** of total project costs in non-NYSERDA matching funds.

Proposers must select one, **AND ONLY 1**, funding category per proposal, which **must** be indicated in each proposal. **Proposals that do not identify a funding category or include multiple funding categories may not be reviewed by NYSERDA.** [Proposers may submit more than one proposal.](#) Proposers applying under **Category 1 or Category 2** should allocate 10-25% of the project budget for commercialization-related tasks, such as customer discovery and market research, IP protection, business plan development, and design for manufacturing tasks. **Category 1 and Category 2 proposals are subject to NYSERDA's recoupment requirements, as outlined in Section III.**

NYSERDA reserves the right to modify a project's Statement of Work and may offer to fund any of the proposal's phases therein at a lower level than that requested, such as by offering to fund a feasibility study rather than a proposed prototype development effort.

Project Scope. To be selected for funding, proposals **must**:

- Show a potential to reduce GHG emissions by expanding PEV use in New York State.
- Identify readily available metrics that track how the project contributes to advancing PEVs in New York State.
- Emphasize development of marketable products, services or strategies rather than basic research or services or strategies that are not replicable.
- Provide quantifiable benefits to New York State with respect to the PEV market in New York.
- Provide a summary discussion of the commercialization path appropriate to the stage of development of the proposed technology. 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.
- Provide cost sharing by the proposer or third parties in the form of cash or in-kind labor, materials, equipment, facilities, or other resources, subject to reasonable verifiable valuation. Co-funding may be from the proposer or other private or government sources. NYSERDA's funds cannot be used to reimburse or replace normal expenses of other government organizations.

Project Schedule, Phasing, and Teaming. The following guidelines should be considered when developing proposals:

- Projects are expected to begin within six months of the proposal due date. Because the PEV market is evolving quickly, shorter projects are strongly preferred. Generally, the project schedule should not exceed: 12 months for Category 1; 24 months for Category 2; and 18 months for Category 3 and 4.
- Any **Category 2** proposal requesting more than **\$250,000** of NYSERDA funding must be separated into at least **two phases**, with each phase not exceeding **\$250,000** of NYSERDA funding. For a proposal requesting \$250,000 or less of NYSERDA funding, the proposer may opt to separate it into multiple phases, e.g., to display flexibility in funding options.
- Teaming agreements are strongly encouraged, where appropriate, to enhance the likelihood of project success. Teams may include commercial firms, industry associations, research organizations, universities, government agencies, end-users, or other stakeholders. Academic institutions are strongly encouraged to engage industry partners to help ensure the project addresses a real commercial interest in bringing the innovation to market. **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, or share in the non-NYSERDA cost, you must include a letter from that organization describing its planned participation and financial commitment if there is one. The lack of such letters is viewed as a very serious proposal deficiency and will be judged accordingly in the evaluation process. Also include letters of interest or commitment from businesses or other organizations critical to the future commercialization, demonstration, or implementation of the project. Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. Letters should not be solicited from NYSEDA personnel.

Other considerations. In addition, note that:

- A proposal may be considered **non-responsive** and not considered in the review process if it fails to comply with the requirements above, the Proposal Requirements of Section III, or the General Conditions of Section VI.
- Prior to an award being made, potential awardees may be required to demonstrate: access to financial resources sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.

III. PROPOSAL REQUIREMENTS

The proposer's goal should be to **concisely** present the information needed to fully address the evaluation criteria (Section V). Proposals that grossly exceed the word limits or fail to follow the format guidelines may be rejected as non-responsive. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section VI instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, effective, and **concise** 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. All proposers are required to submit, at a minimum, the following documents:

- Proposal Narrative (with required attachments)
- Statement of Work (instructions are in the Proposal Narrative files)
- Budget Form (instructions are in the Proposal Narrative files)

Each Funding Category has its own respective Proposal Narrative, with the sections listed below. Proposer must follow the instructions provided during the Proposal Submission process to ensure that all required documents for the selected Funding Category are submitted.

Funding Category 1 (Attachment A1)

- Executive Summary
- Problem Statement and Proposed Solution
 - Business Model Canvas (Attachment B2)
- State of Research and Technology Targets
 - TRL/CRL Calculator (Attachment B3)
- Commercialization Potential of Proposed Solution
- Feasibility Study Information
- Statement of Work (Attachment B1) and Schedule
- Project Benefits
- Budget
- Proposer Qualifications
- Letters of Commitment
- Attachments

Funding Category 2 (Attachment A2)

- Executive Summary
- Problem Statement and Proposed Solution
 - Business Model Canvas (Attachment B2)
- State of Research and Technology Targets
 - TRL/CRL Calculator (Attachment B3)
- Commercialization Potential of Proposed Solution
 - Three-Year Financial Projects Worksheet (Attachment B4)
- Demonstration Site and Product (for projects that include pilot or validation testing ONLY)
- Replication Potential of Proposed Demonstration (for projects that include pilot or validation testing ONLY)
- Statement of Work (Attachment B1) and Schedule
- Project Benefits
- Budget
- Proposer Qualifications
- Letters of Commitment
- Attachments

Funding Category 3 (Attachment A3)

- Executive Summary
- Problem Statement and Proposed Solution
- State of Research and Technology Targets
- Implementation Potential of Proposed Solution
- Feasibility Study Information
- Statement of Work (Attachment B1) and Schedule
- Project Benefits
- Budget
- Proposer Qualifications
- Letters of Commitment
- Attachments

Funding Category 4 (Attachment A4)

- Executive Summary
- Problem Statement and Proposed Solution
 - Business Model Canvas (Attachment B2)
- State of Research
 - TRL/CRL Calculator (Attachment B3)
- Commercialization Potential of Proposed Solution
 - Three-Year Financial Projects Worksheet (Attachment B4)
- Demonstration Site and Product
- Replication Potential of Proposed Demonstration

- Statement of Work (Attachment B1) and Schedule
- Project Benefits
- Budget
- Proposer Qualifications
- Letters of Commitment
- 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 the amount indicated in Section II Program Requirements. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSEDA will not pay for efforts, nor can the proposer claim as cost-share, any expenses that have already been incurred prior to the date of an award. Show the cost-sharing plan in the following format (expand table as needed):

PROPOSAL COST SHARING TABLE (expand as needed)						
Proposed Funding By Task (Cash and In-Kind)					Project Total	
Funding Source	Task 0 (\$)	Task 1 (\$)	Task 2 (\$)	...	Cash (\$)	In-Kind (\$)
NY State						
Proposer						
Co-Funder (identify)						
Co-Funder (identify)						
Task Total (\$)						

Please note: A payment based on the final deliverable will be reserved until project completion. If the proposal is awarded, NYSEDA may choose to negotiate the amount of such payment, which is typically in the range of 10-15% of the NYSEDA award.

IV. RECOUPMENT AND METRICS

Recoupment - For any new projects **exceeding \$75,000** of NYSEDA costs that involve product development, including business development, **NYSERDA will require a royalty** based on sales and/or licensing of the new product developed (Please see Attachment D, Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration projects. Please see the definitions below to determine if your project will be subject to recoupment. Please note that NYSEDA will make final determinations as to whether proposals fit within the demonstration or product development categories. **Proposals to PON 3578 under Funding Category 1 and Funding Category 2 are subject to these product development recoupment requirements.** Proposals submitted under Category 3 or 4 that NYSEDA deems to be more appropriately classified as product development may also be subject to these product development recoupment requirements.

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

incremental improvements may be incorporated based on the demonstration results, the final product design is essentially complete.

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

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

Annual Metrics Reports – If awarded, 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 the list below for the metrics guide that you will be required to submit. Refer to the required attachment for the metrics that you must 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.

- Funding Category 1: Attachment E1 - Product Development Metrics Reporting Guide
- Funding Category 2: Attachment E1 - Product Development Metrics Reporting Guide
- Funding Category 3: Attachment E2 - Information Dissemination Metrics Reporting Guide
- Funding Category 4: Attachment E3 - Product Demonstration Metrics Reporting Guide

V. PROPOSAL EVALUATION

Proposals will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria, **listed in order of importance**. After the proposals are reviewed, NYSERDA will issue a letter to each proposer indicating 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, budget, and schedule, and may also be asked to address specific questions or recommendations of the Scoring Committee before contract award.

Evaluation Criteria:

1. Proposal Quality

- **Program Goals and Benefits:** How well does the project help meet the goals of removing market barriers to PEV adoption in New York State and creating energy, environmental, and economic benefits for New York State? How well does it address one or more of the listed Focus Areas? How significant is the statewide potential for expanded PEV adoption resulting from the project? Are the expected benefits likely to be realized, given other constraints or barriers? Are there additional significant benefits, such as enhanced electric grid, environmental, economic, safety and security benefits? If adopted, will there be economic benefits in New York State in the form of subsequent investments, manufacturing or technical service activity?
- **Project Design:** Is the proposed work plan technically and commercially feasible, innovative, and superior to potential alternatives? Is there a strong likelihood that the project can be completed as described, with the intended benefits? Does the approach to completing the project seem appropriate for the proposed schedule and budget?
- **Innovation:** Does the project contain a novel approach to the PEV market that has not been demonstrated in New York to date? Does the proposal contain detailed information on the proposed innovation and how that innovation will be introduced in the market?
- **Market Demand and Replicability:** Has the proposer demonstrated that the technology, strategy, or policy being studied is something that market actors are interested in implementing and feel would

provide benefits if successful? Are there letters from market actors attesting to the value of the project? Does the project demonstrate a path to market acceptance and economic viability? Is there a path for it to be commercialized or, for demonstrations, replicable beyond a single demonstration?

- **Data Collection and Analysis:** Does the proposal contain a detailed plan for data collection and analysis? Does it include thoughtful ways to measure success and potential or actual impacts? Does it include a well-considered plan for independent analysis of the project, where appropriate?

2. Proposer Qualifications

- **Team, References and Past Performance:** Does the proposer have a history of successfully completing similar projects? Do they have the necessary technical and commercial expertise to complete the project and move the innovation toward market adoption?
- **Partnerships:** Does the project team include partnerships with appropriate partners for accomplishing the project's goals?
- **Level of Commitment from Partners:** Did the project partners provide commitment letters detailing their roles in the project and any financial or technical cost share for the project?
- **New York State Content:** Does the team consist of New York State businesses, thereby providing economic benefits in the form of jobs?

3. Project Value

- **Cost/Benefit Considerations:** Is the overall project cost justified based on the expected benefits? Relative to the project cost, how significant are the potential benefits? Are the equipment and labor costs reasonable for the type of equipment and labor being used?
- **Schedule:** Does the proposal contain a reasonable schedule to complete the work? Is the schedule short enough and flexible enough to be able to respond to changing market conditions?
- **Budget Detail:** Is the level of detail included in the budget sufficient to evaluate the project costs? Is the budget appropriate for the proposed work plan?
- **Cost Share:** Has the minimum cost share requirement been met? Is there cost share provided beyond the minimum required? How appropriate are the proposer's cost share contributions (sources and amounts) with respect to the degree of risk, potential to benefit from the work, and financial status of the proposing organization and project team? Does the project offer the potential to catalyze additional investments in the future if successful?

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.

Program Policy Evaluation Factors. NYSERDA may consider the following program policy factors in making award selection decisions:

- Whether the proposed project will advance the goals of the State Energy Plan and the Clean Energy Fund, which include improving resilience and reducing GHG emissions.
- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals. <https://www.nyserda.ny.gov/About>
- The degree to which there is diversity of technologies, approaches, methods and institutions that would be complementary to and support a diversity of geographic locations and of technical approaches and methods that, in conjunction with the existing portfolio of projects funded by NYSERDA, best achieve the overall goals and objectives of NYSERDA.
- The degree to which there is industry involvement and demonstrated ability to accelerate the adoption of energy or related technologies.
- Whether the proposed project will accelerate transformational technology advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty.
- The degree to which there are technical, market, organizational and/or environmental risks associated with the projects that outweigh the potential benefits.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.

- Past performance of the proposer on other NYSERDA projects
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.
- The degree to which pricing and hourly rates are in line with the rest of the market.

The award selection process contains multiple phases including an initial eligibility review, ranking by a Scoring Committee of subject matter experts, considerations such as program policy factors and the amount of funds available to make the selection decisions.

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 submission to NYSERDA. 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). 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 filing with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately twelve (12) weeks from the proposal due date whether the proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Recoupment - For any new product research and/or development, NYSERDA will generally require a royalty based on sales of the new product developed. NYSERDA's standard royalty terms are 1.5% of sales or ten percent (10%) of all license revenue accruing to the Contractor for products produced in New York State (for a period of fifteen years or until the Contractor pays NYSERDA an amount equal to the amount of funds paid by NYSERDA to the Contractor, whichever comes first) and 5% of sales or thirty percent (30%) of all licensing revenues accruing for products produced outside of New York State (for a period of fifteen years or until the Contractor pays NYSERDA an amount equal to three times the amount of funds paid by NYSERDA to the Contractor, whichever comes first).

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

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

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

VII. ATTACHMENTS

Attachment A1 - Proposal Narrative for Funding Category 1
Attachment A2 - Proposal Narrative for Funding Category 2
Attachment A3 - Proposal Narrative for Funding Category 3
Attachment A4 - Proposal Narrative for Funding Category 4
Attachment B1 - Statement of Work Sample Format
Attachment B2 - Business Model Canvas Template
Attachment B3 - Technology and Commercialization Readiness Level Calculator
Attachment B4 - Three-Year Financial Projections Worksheet
Attachment C - Budget Form and Instructions
Attachment D - Sample Agreement
Attachment E1 - Product Development Metrics Reporting Guide
Attachment E2 - Information Dissemination Metrics Reporting Guide
Attachment E3 - Product Demonstration Metrics Reporting Guide



NYSERDA

**Cooperative Advertising and Promotion Program for HVAC Partners
Program Opportunity Notice (PON) 3694
\$1.5 Million**

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

Applications will be accepted on a first-come, first-served basis and are due the last Monday of each month dependent on funding availability through December 31, 2020 or until all funds are committed.

Informational Webinar will be held on December 12, 2017 from 1:00 p.m. to 2:00 ET

NYSERDA has \$1.5 million available to provide cost-share on advertising, special promotions, and/or events, including training, for eligible HVAC technologies. NYSERDA's Cooperative Advertising and Promotion Program for HVAC Partners offers incentives up to 50 percent of the total cost for educational and marketing promotion opportunities to eligible HVAC partners. HVAC partners can include: distributors or vendors of eligible [cold-climate air-source heat pumps \(ASHPs\)](#) or [ground-source heat pumps \(GSHPs\)](#) serving the New York HVAC industry, contractors/installers who have an executed partnership agreement through the *Air-source Heat Pump Program (PON 3653)* or *Ground-source Heat Pump Rebate (PON 3620)*.

These activities must promote eligible [cold-climate air-source heat pumps \(ASHPs\)](#) or [ground-source heat pumps \(GSHPs\)](#) and convey the related benefits of these technologies through advertisements (TV, print, online, etc.); marketing materials; and special promotions, events, or heat pump-related trainings. All activities must be pre-approved by NYSERDA to receive the 50 percent reimbursement. The annual maximum cap is \$50,000 per eligible participant. Funding is available on a first-come, first-served basis until December 31, 2020, or until all funds are committed, whichever comes first.

Application Submission: Eligible HVAC partners must complete and submit the [Cooperative Advertising and Promotions Application](#) with related back-up documentation to be considered for co-op funding. Application submissions will be evaluated within 10 business days. Incomplete or insufficient applications will be rejected. However, applicants have the option to revise and resubmit them.

No communication intended to influence this procurement is permitted except by contacting (project manager name – Ryan Moore (Designated Contact) at (518) 862-1090, ext. 3267 or by e-mail products@nyserda.ny.gov or Kerry Hogan – secondary contact) at (518) 862-1090, ext.3509 or by e-mail products@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or Nancy.marucci@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*Faxed or e-mailed applications will not be accepted. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all required documents have been included in the proposal. If changes are made to this solicitation, notification will be posted on NYSERDA's [Cooperative Advertising and Promotions for HVAC Partners web page](#).



I. Program Summary

NYSERDA will provide up to 50 percent of the total cost of eligible advertising and marketing activities that promote the installation of [cold-climate air-source heat pumps \(ASHPs\)](#) or [ground-source heat pumps \(GSHPs\)](#) that are eligible under the *Air-Source Heat Pump Program (PON 3653)* and *Ground Source Heat Pump Rebate (PON 3620)* programs. The incentives can also be used for promotion of GSHP or ASHP-related sales, design and/or installation training. The main objective of PON 3694 is to educate HVAC stakeholders, specifically contractors and end-use customers, on the benefits of eligible ASHPs and GSHPs to help spur widespread adoption of heat pumps. The activities to be supported under this PON is geared to complement the *Air-Source Heat Pump Program (PON 3653)* and *Ground Source Heat Pump Rebate (PON 3620)*. Participants must read and agree to be bound by the terms of the Co-op Advertising and Promotions Program Manual (Program Manual), including the Terms and Conditions attached thereto. This Manual provides additional details regarding eligible co-op activities, submission requirements, and reimbursement process.

II. Eligibility Criteria

NYSERDA will pay up to a 50 percent maximum cost-share for qualified heat pump-related marketing, promotions, advertising, and or trainings that meet the guidelines and requirements described in the Program Manual. HVAC distributors and vendors of eligible [cold-climate air-source heat pumps \(ASHPs\)](#) or [ground-source heat pumps \(GSHPs\)](#), as well as contractors/installers who have an executed partnership agreement through the *Air-source Heat Pump Program (PON 3653)* or *Ground-source Heat Pump Rebate (PON 3620)* and are in good standing with the Program can qualify for Cooperative Advertising and Promotions Incentives advertising, marketing, and training activities. To be eligible for reimbursement of co-op activities, HVAC partners must meet the requirements outlined in the Cooperative Advertising and Promotions Program Manual. Eligible HVAC manufacturers, who sell qualified ASHPs or GSHPs, can only apply for incentives for training-related activities. HVAC manufacturers, distributors, and/or vendors must demonstrate that they make available for sale program-qualified heat pumps in New York State, specifically in the System Benefits Charge (SBC) service territories. In general, the SBC service territory covers customers of New York's six investor-owned utilities, which includes Central Hudson Gas & Electric Corporation, Consolidated Edison Company of New York, Inc., Orange & Rockland Utilities, Inc., National Grid, Rochester Gas and Electric Corporation, and New York State Electric & Gas (NYSEG) Corporation.

III. Cooperative Advertising and Promotion Incentive Structure

NYSERDA will pay up to 50 percent of the cost of approved advertising and promotion activities with an annual maximum cap of \$50,000 for each eligible participant. Annual caps are renewed each calendar year (January 1st) and any unused/remaining incentives cannot be carried over from the previous year.



IV. How to Apply

Eligible participants can apply for incentives by completing the [Co-op Advertising and Promotions Incentive Application](#) (including uploading any related attachments and documents). Participants must electronically sign each Application and agree to abide by the terms and guidelines in the Program Manual. Incomplete or inaccurate applications will not be accepted. To be eligible for reimbursement, all cooperative advertising, promotions, and/or training activities must be pre-approved by NYSERDA. Where possible, notification of approval or of necessary changes required in order to receive approval will be provided within 10 business days. It is highly recommended that you submit applications well in advance to allow enough time for any NYSERDA-related changes, or revisions before the activity is implemented. Applications should include sufficient back-up documentation for each co-op activity to help demonstrate the cost-effectiveness, reach/impact, and educational content of the proposed activity. For more information on eligible co-op activities and related requirements, refer to the Program Manual.

V. Evaluation Process

Through this Program, NYSERDA is seeking educational and marketing efforts that are highly informative, impactful, and cost-effective. NYSERDA will review and evaluate all applications received on the cost-effectiveness, reach and/or impact, and content of the ad, promotion, and/or training. For reach/impact, this means that each co-op activity application should provide a realistic number of people that will see or interact with the co-op activity. For cost-effectiveness, the co-op activity will be evaluated based on the overall cost in relation to the number of people that will be targeted through the co-op activity. For instance, if you are applying for co-op incentives to cost share a \$50,000 newspaper ad, but if the newspaper has a circulation of only 3,000 subscribers, this would not be considered cost-effective. NYSERDA will also review the educational content of the activity to ensure the messaging educates and raises awareness of eligible heat pump technology. Each application will be reviewed by an internal evaluation panel made up of marketing and program experts to ensure each co-op activity sufficiently meets the evaluation criteria. NYSERDA may reject any application for any reason, but generally, NYSERDA will provide feedback within 10 business days on the weaknesses and if those applicants can rectify or improve the proposal, they will be encouraged to revise the proposal and re-apply.

All co-op activities proposed should reflect 50 percent cost-share on the part of the applicant and complement the objectives of the *Air-Source Heat Pump Program (PON 3653)* and *Ground Source Heat Pump Rebate (PON 3620)*. NYSERDA reserves the right to provide less than 50 percent of cost-share based on the reach/impact or educational content of the proposed co-op activity. NYSERDA also reserves the right to make changes to the cost-share incentive structure at any time. These changes will be posted on NYSERDA's [Cooperative Advertising and Promotions for HVAC Partners web page](#).



Participants will also be informed of any changes via email. All [Cooperative Advertising and Promotions Applications](#) submitted to the Program will be eligible for the incentive level in place at the time that the completed application is received by NYSERDA.

Applicants are prohibited from cancelling submitted applications and re-applying if the new incentive structure would result in a higher incentive.

VI. Invoicing and Reimbursement Requirements

To be eligible for reimbursement of co-op activities, HVAC partners must meet the requirements outlined in the Cooperative Advertising and Promotions Program Manual. Once the approved co-op activity is implemented/executed, the Partner must submit back-up documentation including an itemized billing statement or invoice for the activity and must do so within 60 days of completion of the advertising/training/promotion. Failure to comply with this program requirement may result in ineligibility of costs for reimbursements. NYSERDA reserves the right to withhold the reimbursement until all required/requested documents are received.

VII. General Conditions

Proprietary Information – Careful consideration should be given before confidential information is submitted to NYSERDA as part of your application/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.



NYSERDA

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

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

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

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

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

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



NYSERDA

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.

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.

VII. Attachments:

Cooperative Advertising and Promotions for HVAC Partners Program Manual



**Workforce Training: Building Operations and Maintenance
Program Opportunity Notice (PON) 3715
\$5,800,000 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 October 4, 2018 by 5:00 PM Eastern Time.

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. While a training organization may be the lead proposer, they must partner with a specified entity or entities employing building operations and maintenance workers. Such entities must be New York State electricity customers of a participating utility company and paying into the System Benefits Charge (SBC)/Clean Energy Fund (CEF). 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.

Applications will be received on a first-come, first-served basis through October 4, 2018. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov>.

Application Submission: Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Should you choose to submit in PDF or MS Excel, please include an additional copy in MS Word format. Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), click the link "NYSERDA Solicitation User Guide [PDF]" located in the "Upcoming Funding Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Upcoming-Funding-Opportunities>).

No communication intended to influence this procurement is permitted except by contacting Debora Moran – primary contact (Designated Contact) at (518) 862-1090, ext. 3488 or by e-mail Debora.Moran@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 (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. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

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

I. INTRODUCTION

NYSERDA's 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. While a training organization may be the lead proposer, they must partner with a specified entity or entities employing building operations and maintenance workers. Such entities must be New York State electricity customers of a participating utility company and paying into the System Benefits Charge (SBC)/Clean Energy Fund (CEF). 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 proposer's 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 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.

II. PROGRAM BUDGET

Total funding currently available for this solicitation is \$6,700,000. 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 contract. 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. Should the project require the purchase of laptops, tablets, or cell phones, these should be designated as proposer cost share.

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 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.
- While a training organization may be the lead proposer, they must partner with a specified entity or entities employing building operations and maintenance workers. Such entities may include, but are not limited to, building owners, facility managers, property management companies, or business associations/trade groups that represent or are comprised of employers. The majority of the cost share must be provided by the entity employing building operations and maintenance workers.
- Participating employers of building operations and maintenance workers must have buildings, campuses, or groups of participating buildings in a proposal with 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 (within the facilities of the participating employers) 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 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 B 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 organization 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 A.

VII. BUDGET REQUIREMENTS

Include a detailed budget for the proposal that shows hours and dollars allocated to each task of the Scope of Work. If a proposal is selected for funding, proposers will be required to use the budget template provided in Attachment D. The budget must be reasonable and must show the portion being requested from NYSERDA and the portion that is the proposer's or proposing team's responsibility. The majority of the cost share must be provided by the entity employing building operations and maintenance workers. 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 A 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?
 - o Does the Scope of Work clearly identify skills gaps being addressed and the training initiatives to address those gaps?
 - o Are the type and number of workers being trained specified in each training task and overall?
 - o 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
 - o Can the project be replicated throughout an organization that employs building operation and maintenance workers or throughout a proposing team?
 - o 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
 - o 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
 - o 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
 - o Is there leveraging of resources, such as subject matter experts, curriculum, equipment, training facilities, etc.)?
 - o 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.

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 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

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

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

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

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

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

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

XI. ATTACHMENTS:

Attachment A – Application Form
Attachment B – Sample Scope of Work
Attachment C – Sample Agreement
Attachment D – Budget Template

**Electric Power Transmission and Distribution (EPTD)
High Performing Grid Program
Program Opportunity Notice (PON) 3770
Up to \$15 Million Available**
All, some, or none, of the available funds may be awarded

Rolling submissions are being accepted until July 18th, 2018 5:00 PM Eastern Time for Concept Papers and up until August 22nd, 2018 5:00 PM Eastern Time for Full Proposals, or until all funds are committed. *

The New York State Energy Research and Development Authority (NYSERDA) announces the availability of up to \$15 million in funds to support technology feasibility, research and engineering studies, product development and demonstration projects that improves the resiliency, reliability, efficiency, quality, and overall performance of the electric power delivery system in New York State. Submissions must demonstrate significant statewide public benefits 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 electric grid performance, and enables customers to reduce their energy costs, energy consumption, and environmental impacts. Additional objectives include the development of smart grid technologies and their commercialization by New York State companies.

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

**Advanced Monitoring / Measurement / Controls
Distributed Energy Resources Integration/ Interconnections
Advanced Materials / Cabling / Conductors
Advanced Planning / Operations / Design / Forecasting Tools
Innovative Cybersecurity / Data Analytics**

**Transmission and Distribution Automation / Management
Advanced Power Electronics / Smart Inverters
Advanced System Modeling / Applications / Algorithms
Advanced Sensors / Devices / Systems
Advanced / Adaptive Protection Systems / Controls**

NYSERDA is accepting Concept Papers and Full Proposals in the following categories:

Category	Maximum NYSERDA Funding Per Award	Total Project Cost Share
Category A: Technology Feasibility Studies	\$100,000	25%
Category B: Product Development	No limit	50%
Category C: Research Studies	\$ 400,000	25%
Category D: Engineering Studies	\$ 400,000	25%
Category E: Demonstration Projects	No limit	50%

Concept Paper and Full Proposal Submission: Electronic submission is preferable. NYSERDA will also accept Concept Papers and Full Proposals submissions by mail or hand-delivery up until 5 pm Eastern Time by July 18, 2018 (Concept Papers) and by August 22, 2018 (Full Proposals). If submitting electronically, proposers must submit in either PDF or MS Word format. PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Concept Papers and Full 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.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

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

**Jillina Baxter, PON 3770
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 Michael Razanousky (Designated Contact), (518) 862-1090 ext: 3245 or by e-mail michael.razanousky@nyserderda.ny.gov, or Christopher Cheng (Designated Contact) (518) 862-1090

ext:3436 or by e-mail christopher.cheng@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci, (518) 862-1090 ext: 3335 or by email 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 Concept Papers or Full Proposals will not be accepted. Incomplete Concept Papers or Full Proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the submission. Faxed or e-mailed submissions will not be accepted. Submissions 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>. NYSERDA reserves the rights to extend and/or adjust funding to this solicitation.

NOTE: This solicitation has a multi-step application process. The first step is to submit a Concept Paper explaining what would be proposed per the instructions in Attachment G. Concept Papers may propose to any category in the solicitation and must meet the funding amounts and cost share requirements for the proposed category. The Concept Papers will be reviewed by a Scoring Committee and approved papers will be invited for a Full Proposal submission. Full Proposals will not be reviewed and are ineligible without having successfully received approval at the Concept Paper stage.

I. INTRODUCTION

The future transmission and distribution system will be dramatically different from that which is in place today. For example, much of the system currently uses older planning tools and algorithms that do not utilize real time data and computational capacities of advanced technologies. Furthermore, today's electrical grid is relatively passive and continues to rely on electro-mechanical devices that do not dynamically communicate and are only capable of managing one-way flow of power. Systematic improvements to grid investments and operations are possible at all levels of the grid and are an essential element of the transformation of the grid and enable market development envisioned by NY's Reforming the Energy Vision (REV) initiative.

This solicitation seeks to make investments that accelerate the realization of an advanced, digitally enhanced and dynamically managed "high-performing" electric grid for New York State. The focus of this solicitation will be to:

- Build the capacity to integrate and expand the use of clean distributed energy resources.
- Pursue efficient asset utilization and reduce system losses.
- Facilitate greater transfer of clean energy from generation to load centers.
- Improve grid reliability and resiliency.
- Accommodate increased customer engagement in energy markets.
- Support the innovation of smart grid technologies in New York State.

This Electric Power Transmission and Distribution High Performing Grid Program solicitation is issued for specific technology areas that advance the goals discussed above. These technology areas include, but are not limited to:

- (1) Advanced monitoring, measurement and control systems and subsystems.
- (2) Transmission and distribution automation and management systems and subsystems.
- (3) Distributed energy resources integration and interconnection systems and subsystems.
- (4) Advanced power electronics and smart inverter systems.
- (5) Advanced materials, conductor and cabling technologies to improve resiliency, reliability, congestion and reduce losses.

- (6) Advanced systems modeling, applications and algorithms, such as data processing, visualization, diagnostics and analytic technologies.
- (7) Advanced planning, operations, design and forecasting tools.
- (8) Advanced sensors, devices, control systems and other equipment innovations that improve transmission and distribution system performance and reliability.
- (9) Innovative cybersecurity solutions and data analytics.
- (10) Advanced and adaptive protective systems and controls.

Activities include product development and demonstration projects. Studies into ways of improving 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 energy resources will also be supported.

Projects that promote high performing smart grid technologies, components and/or systems both within (Consolidated Edison, Orange and Rockland, New York State Electric and Gas, Rochester Gas and Electric, Central Hudson Gas and Electric, and National Grid) and outside (New York State's Power Authorities, municipal electric companies, cooperative electric organizations, out of state utilities) of the New York regulated electric service territories 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 benefits to New York State.**

Concept Papers and Full Proposals will be evaluated in five distinct project categories listed below in Section II and scored on the evaluation criteria listed in Section VI of this solicitation. All of the submissions will be reviewed by a scoring committee comprising of both internal NYSEDA staff and outside experts. All Concept Papers and Full Proposals will be evaluated according to the quality and level of detail provided within page limits. Full Proposals must include substantive documentation addressing all scoring criteria items. NYSEDA at its discretion may ask for an in-person presentation of a Full Proposal before making a funding decision.

II. PROJECT CATEGORIES

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

Category A: Technology Feasibility Studies (NYSEDA's share of funding for any project of this type will be limited to a maximum of \$100,000. Proposer total project cost share at or above 25%.)

- Projects under this category include studies aimed at determining and demonstrating the feasibility of new smart grid technologies and products. Projects that successfully demonstrate feasibility may provide the basis for a project proposal under Category B: New Product Development projects to further the advancement of the new product or technology.

Category B: New Product Development (No NYSEDA limit for funding request. Proposer total project cost share at or above 50%.)

- Projects under this category include the development and commercialization of technologies and 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 B projects. Product Development projects may lead to a project proposal under Category E: Demonstration Projects to prove out the potential product or technology at a New York State site. **Note: New Product Development projects are subject to NYSERDA's recoupment terms described in Section VII**

Category C: 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%.)

- Projects under this category include studies aimed at ways of improving the resiliency, reliability, quality and efficiency of the electric power delivery system. Studies may explore effects and feasibility of new technology deployment, public policies, business models, planning methods, cost recovery models or other areas of analysis.

Category D: 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%.)

- Projects under this category include 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 E: 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 E: Demonstration Projects (No NYSERDA limit for funding request. Proposer total project cost share at or above 50%.)

- Projects under this category include demonstrations of new or under-utilized products and/or technologies that are past the technology readiness level (TRL) 6 or higher. This means that products and/or technologies have been tested in a relevant environment and are ready to be demonstrated in an operational environment. Projects in this category **should not** include technology or product development tasks. If technology or product development tasks are necessary, consider proposing in Category B. Projects in Category E 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 from NYSERDA may be funded in phases separated by go/no-go milestones.

The proposer has the option of requesting multiple stage projects that include multiple project categories. For example, a proposer may request consideration of a project that involves a Category A study to determine the feasibility of a new technology, a Category B effort to develop the new technology, and a Category D study to address detailed design for technology installation.

a. Any proposer who requests this should briefly describe how it will complete the initial stage and any following stage along with significant milestones and provide an estimate of the total cost and schedule for each stage.

b. Any contract awarded to fund a multi-stage project does not in any way obligate NYSERDA to fund any more than the first stage.

- i. NYSERDA anticipates awarding contracts for either a single stage of a multistage project, or for multiple stages. In the case of a multi-stage award, NYSERDA anticipates issuing a contract with a maximum, “not-to-exceed” amount with subsequent stages only being awarded on a contingent basis as described below.
 - ii. NYSERDA reserves the right not to move forward with subsequent stages of a multi-stage award, dependent on project success and availability of funding. Later stages may be funded if, in NYSERDA’s sole discretion, milestones from the previous stage have been satisfied, there is still significant potential market impact, and sufficient program funds remain.
 - iii. NYSERDA expects it may award more contingent funding than is available for this program.
 - iv. At the end of each stage, project outcomes will be evaluated to determine if the project will continue to be funded.
- c. The proposal must meet the minimum proposer cost share for each category that is funded.

III. ELIGIBLE TECHNOLOGIES

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

- (1) Advanced monitoring, measurement and control systems and subsystems.
- (2) Transmission and distribution automation and management systems and subsystems.
- (3) Distributed energy resources integration and interconnection systems and subsystems.
- (4) Advanced power electronics and smart inverter systems.
- (5) Advanced materials, conductor and cabling technologies to improve resiliency, reliability, congestion and reduce losses.
- (6) Advanced systems modeling, applications and algorithms, such as data processing, visualization, diagnostics and analytic technologies.
- (7) Advanced planning, operations, design and forecasting tools.
- (8) Advanced sensors, devices, control systems and other equipment innovations that improve transmission and distribution system performance and reliability.
- (9) Innovative cybersecurity solutions and data analytics.
- (10) Advanced and adaptive protective systems and controls.

IV. PROGRAM REQUIREMENTS

Projects proposed for funding must:

- (1) Address an innovative technology that improves the resiliency, reliability, performance, efficiency and provide new services for 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) budget showing total project cost and proposer cost-share. Include a cost-sharing breakdown by project task in the Statement of Work.
- (4) Satisfy recoupment obligations to NYSERDA for any new technology or product development effort requesting cumulative NYSERDA funding over \$100,000 upon product commercialization (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 applications 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 partners / 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 advancement 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.
- Proposers may be required to make an in-person presentation to NYSERDA prior to a final decision being made.

ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY E DEMONSTRATION PROJECTS ONLY

Category E 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 E: 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 E: Demonstration Projects Only

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

Reporting Requirements for Category E: 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.

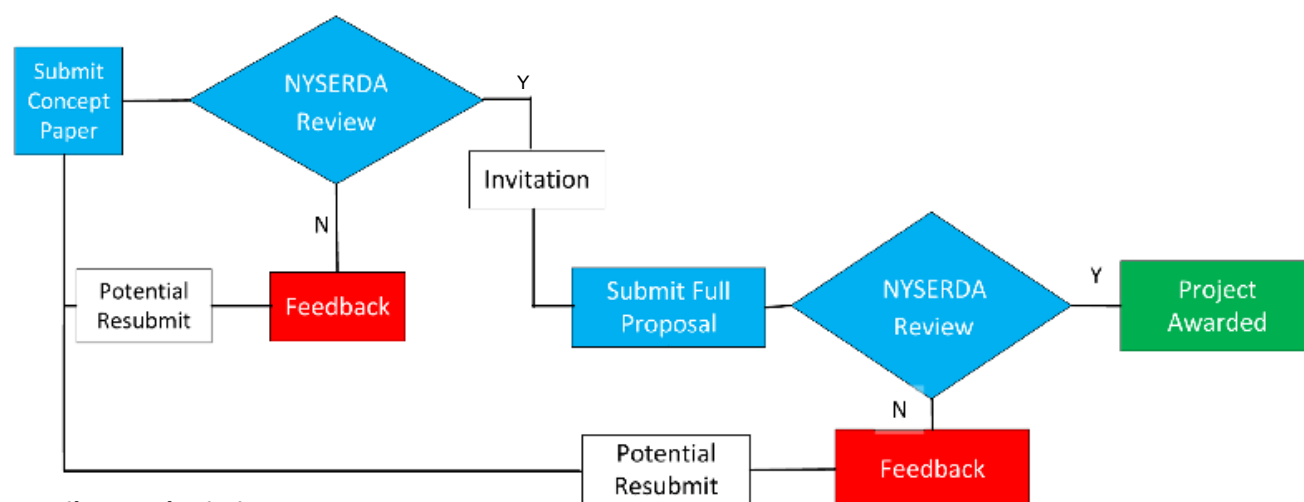
Historical Performance Data Reporting for **Category E: Demonstration Projects Only**

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. SUBMISSION REQUIREMENTS

Multi-step Application Process

A multi-step application process is used for this solicitation. All proposers must first submit a maximum 4-page Concept Paper per the instructions/template in Attachment G. Concept Papers must concisely describe the concept, why this is desirable and scalable in New York State, values to be sought and desired outcomes of the project. NYSERDA will evaluate/score Concept Papers as they are received based on the Scoring Criteria in Section VI. Concept Papers may be submitted to NYSERDA at any time this solicitation remains open for Concept Papers. Following a NYSERDA Review, Concept Paper proposers may be invited to submit a Full Proposal. Proposers invited to submit a full proposal will be provided feedback, questions and concerns related to their concept that should be addressed in the subsequent Full Proposal. Concept Papers for which full proposals are not invited may be resubmitted only one more time, with changes after a debriefing of the strengths and weaknesses. This resubmittal may occur at any time that this solicitation remains open to Concept Papers. This process is depicted in the flow chart below.



Details on Submissions

Prior to Submission

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

Submission Process and Deadlines

Electronic submission is preferable. NYSEDAR will also accept Concept Papers and Full Proposals submissions by mail or hand-delivery. Regardless of the mode of submittal, NYSEDAR will only accept Concept Papers until 5 pm Eastern Time on July 18, 2018, and Full Proposals until 5 pm Eastern Time on August 22, 2018. If submitting electronically, proposers must submit in either PDF or MS Word format. PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Concept Papers and Full 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 NYSEDAR's website

(<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

If mailing or hand-delivering, proposers must submit two (2) paper copies of their submission with required attachments, along with a CD or DVD containing both a PDF and a MS Word digital copy of the Concept Paper or Full Proposal, following the guidelines. Full Proposals (not Concept Papers) must be accompanied with a completed and signed Proposal Checklist. Mailed or hand-delivered Concept Papers and Full Proposals must be clearly labeled and submitted to: **Jillina Baxter, PON 3770, NYS Energy Research and Development Authority, 17 Columbia Circle, Albany, NY 12203-6399**

Concept Papers: Submissions, Review and Re-submittals

Proposers of Concept Papers must use the format of the Concept Paper Template provided as Attachment G. The intent of the template is to present the concept in an orderly, organized manner, without repeating or restating information. Proposers are asked to submit only thoroughly considered Concept Papers. Proposers may submit

Concept Papers to NYSERDA under this solicitation at any time during the open period of the Concept Paper submission. Concept Papers determined compliant with application procedures and responsive to the solicitation will be subject to NYSERDA Review by internal and/or external technical experts in accordance with Section VI Concept Paper and Full Proposal Scoring Criteria. Only the most technically meritorious Concept Papers will receive an invitation from NYSERDA to submit a Full Proposal. Project ideas presented in any Concept Papers not meriting an invited Full Proposal may be resubmitted in a revised Concept Paper, ideally addressing NYSERDA's assessment of strengths and weaknesses. Only one such resubmittal will be considered during the term of this solicitation.

Full Proposals: Submissions, Review and Re-submittals

Proposers may submit a Full Proposal to NYSERDA for consideration under this solicitation only after a favorable review of a Concept Paper and an invitation to submit a Full Proposal. Full Proposals determined to be compliant with application procedures and responsive to the solicitation will be subject to review by a scoring committee comprising of NYSERDA and external technical experts in accordance with Section VI, Concept Paper and Full Proposal Scoring Criteria. Only the most technically meritorious Full Proposals will be awarded an invitation from NYSERDA to enter into a contract. Full Proposals not meriting an award for contracting may be debriefed and resubmitted as a Concept Paper, ideally addressing NYSERDA's assessment of strengths and weaknesses. Only one such resubmittal will be considered during the term of this solicitation.

To submit an invited Full Proposal, complete the Proposal Narrative form-fillable document as part of the PON (Attachment A). The Funding Category must be clearly indicated. The Proposal Narrative contains the following sections:

- Executive Summary
- Problem Statement and Proposed Solution
- State of Research and Technology Targets
 - Attachment C: Technology Readiness Level/Commercial Readiness Level Calculator (Categories A, B, and E)
- Commercialization Potential of Proposed Product
 - Attachment C1: Three-Year Financial Projections Worksheet (Category B)
- Demonstration Project Information (Category E)
- Study Information (Category A, C, and D)
- Statement of Work (Attachment B) 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.

Note: The proposer's goal should be to concisely present the information needed to fully address the scoring 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 scoring criteria. Each page of the proposal should state the name of the proposer, the PON number (PON 3770), and the page number.

VI. CONCEPT PAPER and FULL PROPOSAL SCORING CRITERIA

Concept Papers and Full Proposals will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria. After the submissions are reviewed, NYSERDA will issue a letter to each proposer indicating its Concept Paper or Full Proposal evaluation results. Proposers receiving favorable evaluations will be invited to either submit a Full Proposal or enter into contract negotiations with NYSERDA. After initial review of the Full Proposal, the Proposer, at NYSERDA's sole discretion, may be asked to address specific questions or provide additional information, either in writing or through an interview, as part of the Full Proposal scoring process. The proposer will be required to submit a detailed Statement of Work, budget, and schedule, and may also be asked to address specific recommendations of the Scoring Committee before contract award.

CONCEPT PAPER SCORING CRITERIA:

Problem and Proposed Solution

- How significant is the problem or opportunity to New York State?
- How well does the proposed solution address the problem or opportunity?
- Is the proposed project technically and commercially viable and a clear advancement over existing or competitive industry solutions?
- Is the proposed project novel and/or leverage existing federal / state research priorities and funding?
- Does the proposed project address an eligible technology?
- Does the proposed project meet the category program requirements?
- Does the proposed solution have a high potential for commercialization, addressing demonstrated / validated customer needs and significant market and commercial potential?

New York State Impact and Project Benefits

- Does the project support the Reforming the Energy Vision (REV) goals, grid modernization in general, the Clean Energy Standard, and the Clean Energy Fund goals in New York State?
- Does the proposed project have potential for favorable energy, efficiency, environmental and/or commercial economic growth impact benefits in New York State? How significant are these impacts?
- Does the proposed project address an innovative technology that improves the performance, quality or reliability / resiliency of the electric power system?
- How widely and rapidly deployed can the technology be, both in New York and globally?

Team Qualifications

- 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)?
- Is the proposed team appropriately organized and have the resources necessary to carry out the work plan?

Project Cost and Value

- Is the overall project cost justified and reasonable based on the level of effort proposed and the expected outcome and benefits?
- Is the value proposition and benefits sufficient that the concept or technology will likely be successful and adopted by the market?
- How appropriate are the proposer's co-funding contributions (sources and amounts) with respect to the degree of risk, potential benefits from the work?

Other Considerations – Concept Papers 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.

FULL PROPOSAL SCORING 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?
- Are the commercialization tasks likely to be effective in advancing the technology to market?
- 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, performance and commercialization 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?
- Does the proposed solution have a high potential for commercialization, addressing demonstrated customer needs and significant markets?

Proposed Work (Category E 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?
- Does the proposal include a New York State demonstration 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 the 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?

- 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/or economic impacts in New York State? How significant are these impacts?
- 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, performance and commercialization 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?
- Does the work strategy in the Statement of Work include technical and business development tasks and is likely to achieve the technical, performance and commercialization 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 technical, performance and commercialization 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 and tasks reasonable and complete in details?

The following criteria apply to Category E 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 E DEMONSTRATION PROJECTS ONLY?
- Is the benefits tracking plan reasonable and does it meet the requirements in Section V, ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY E 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 / Team 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 and team have the necessary technical and business background and experience?
- 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 B & E only) -

- Is the proposed product or concept likely to be successful?
- Are there sufficient markets or needs for the concept/technology?
- How significant is the commercial potential of this technology?
- How widely deployed can the technology be, both in New York and globally?
- 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 Program Policy Factors – In addition to considering how project Concept Papers and Full Proposals satisfy the Scoring Criteria listed above, NYSERDA reserves the right to make funding decisions on the basis of other Program Policy Factors, including but not limited to:

- Proposer's record of prior performance in NYSERDA-funded projects
- Geographic distribution of funding and impact
- Diversity of customers receiving project benefits
- Prospects for learning opportunities
- Similarity to ongoing or completed projects receiving NYSERDA support.

VII. RECOUPMENT AND METRICS

Recoupment. For any efforts **exceeding \$100,000** that involve product development and commercialization, 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 and Commercialization: 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: Sample Metrics Reporting Guide for the metrics that you will be expected to provide and the reporting duration. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

VIII. GENERAL CONDITIONS

PROPRIETARY INFORMATION

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

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501. <http://www.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 procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA, at its sole discretion, will decide whether to contract successful projects using time and material or milestone payment terms. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. NYSERDA expects to notify proposers in approximately 4 weeks from the Concept Paper submission date and approximately 10 weeks from the Full Proposal submission date. **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 submissions 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 submissions 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.

IX. Attachments

Attachment A – Proposal Narrative Format

Attachment B - Statement of Work Format

Attachment C – TRL-CRL Calculator Workbook

Attachment C1 – 3 Year Financial Projection Worksheet

Attachment D - Contract Pricing Proposal Form Instructions

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 – Concept Paper Template

Public Transit Technology and Innovation Program

Program Opportunity Notice (PON) 3914

Up to \$5,000,000 Available

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

Round 1:

Concept Papers Due: August 7, 2018

Full Proposals Due: November 8, 2018 no later than 3:00 PM EST

Round 2:

Concept Papers Due: February 21, 2019

Full Proposals Due: May 16, 2019 no later than 3:00 PM EST

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I. INTRODUCTION

New York State has more public transportation ridership than any other state, in terms of both overall and per capita ridership. This ridership demand has been increasing in recent years, especially in dense urban environments like the New York City area and is expected to continue to grow. With some transit systems already at or over capacity, new investments are needed to keep up with demand. There exists a critical opportunity to rethink public transportation operations as transit agencies seek innovative ways to serve riders more efficiently, such as wider adoption of technological advancements and capitalization of industry expertise through public private partnerships. Furthermore, there exists opportunities to help transit agencies improve energy efficiency and to improve transit ridership in transit deserts especially in suburban and upstate areas. To date, many of these opportunities have not been undertaken due to technical and operational hurdles including a lack of dedicated research and development (R&D) budget for product development and demonstration, procurement challenges, financing challenges and logistical hurdles. Innovative energy efficiency solutions could potentially generate sustainable environmental, social and economic benefits through reduced greenhouse gas (GHG) emissions, improved quality of commute for riders and millions of dollars in annual cost savings.

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals to develop and demonstrate innovative public transportation technologies and strategies that have the potential to reduce GHG emissions and associated energy consumption of the existing transit bus, rail and connected intermodal transit systems in New York State. Proposals should focus on new or underutilized solutions that can help transit agencies make tangible improvements to their operations while achieving real energy savings, especially in transit bus efficiency and electrified rail. Proposals should demonstrate a feasible path to economic viability and be replicable and transferrable throughout the State by different size transit agencies. Private, non-profit, and public entities are eligible to propose. The goal of this program is to develop and demonstrate innovative technologies and operational approaches that are required for New York's public transportation systems, while contributing to the State's energy and GHG reduction goals.

II. PROGRAM INFORMATION

Projects **MUST** address one or more of the following Challenges and Focus Areas, which should be identified in the proposal. Proposals that do not address one or more of the Challenges and Focus Areas may be considered unresponsive.

A. Innovation Challenges

Goal: To develop and demonstrate new products and strategies that can reduce energy use from rail traction power, increase efficiency of transit bus service, and improve transit agency operations and ridership statewide.

Challenge 1 – Improve Efficiency and Reliability of Rail Traction Power

- Innovations that advance the state of technology for energy efficiency improvements to electrified rail transit that address **one or more of the following focus areas**:
 - o **Rail equipment** that can reduce third rail electrical loss, lower resistance, and improve power reliability during periods of peak demand
 - o **Advances in energy management and harvesting** that can a) accelerate and improve the energy capture and use of rail regenerative braking technologies, b) overcome integration challenges of energy storage systems to the power distribution system used by trains, c) allow operators to increase service frequency and reduce headways without the need to substantially upgrade existing substations, and/or d) improve monitoring, measurement and control of energy use and energy efficiency at a targeted site level within a transit system
 - o **Train equipment innovations** such as optimizing vehicle weight and reducing unnecessary load without compromising safety, and improving the efficiency and maintainability of on-board systems including HVAC and lighting
 - o **Improvements to train operations** including ways to a) optimize speed profiles and reduce inconsistent and inefficient braking, b) reduce dwell time in stations and yards and reduce HVAC loss, and/or c) improve the efficient distribution and dispatching of trains and reduce the amount of train travel without passengers

Sample Target Metrics: Peak demand (MW), Percentage of traction energy recovered through regeneration, Greenhouse Gas (GHG) emissions per Passenger Mile Traveled (PMT), Third rail voltage

Challenge 2 – Expand Electrification and Improve Efficiency of Buses and Fleets

- Innovations that advance the state of technology for energy efficiency improvements to transit buses, paratransit, and non-revenue vehicle operations that address **one or more of the following focus areas**:
 - o Innovations that facilitate **bus and paratransit electrification**, including projects that a) develop and demonstrate new technologies or strategies to improve the electrification of diesel buses and paratransit vehicles and facilitate cost-effective, faster, universal charging of electric buses and/or b) identify ways to reduce the total cost of ownership of purchasing or converting to electric vehicles while streamlining the necessary operational and maintenance modifications
 - o **Innovative approaches to bus operations** that can reduce inconsistent and inefficient braking, reduce dwell time and improve on/offboarding, alleviate bus bunching and/or reduce the time buses spend in traffic
 - o Technologies or strategies to **reduce energy use from non-revenue fleets** through the electrification of diesel and gasoline O&M vehicles and equipment or the reduction of idling

Sample Target Metrics: Miles per gallon gasoline equivalent (MPGe), Gallons of diesel/gasoline saved, GHG emissions per PMT, Electricity dispensed by EV chargers, Total cost of ownership

Challenge 3 – Integrate Smart and Advanced Technology to Improve the Transit Experience

- Innovations that serve to expand transit ridership and improve the efficiency of transit facilities that address **one or more of the following focus areas:**
 - o Innovative approaches to **improve customer experiences** using data to improve route planning, information sharing, and decision-making tools for riders
 - o Development and demonstration of technologies, strategies, or partnerships to **improve first and last-mile connections** to public transit hubs, especially in rural areas or transit deserts
 - o Innovations that **reduce energy use in transit facilities** through a) improvements in operations or maintenance procedures and/or b) use of passive thermoelectric or kinetic technology

Sample Target Metrics: Vehicle Miles Traveled (VMT) avoided, GHG emissions per PMT avoided, Annual ridership

B. Funding Categories.

Three (3) categories will be considered for funding. Proposals must identify which single category they are applying for:

1. **Technical Feasibility Studies:** Category 1 is for feasibility studies that conduct preliminary research into the concepts underlying new products, systems, or services as a first stage of product or service development. These studies are necessary precursors to ultimate product development and commercialization. Feasibility studies may include conceptual design, technology and market assessments, and similar early-stage studies. NYSERDA's share of funding for any project of this type will be limited to a maximum of \$200,000. All Category 1 projects are required to provide at least 50% of total project costs in non-NYSERDA matching funds.

2. **New Product Development:** Category 2 includes efforts that are crucial to the development of a marketable product, system, or service and any demonstration, testing, or validation of an innovation that is not already commercially available in an application with high impact on the public transportation sector. NYSERDA's share of funding for any project of this type will be limited to a maximum of \$1,000,000. All Category 2 projects are required to provide at least 50% of total project costs in non-NYSERDA matching funds.

3. **Demonstration of Technologies and Business Models:** Category 3 is aimed at demonstrating emerging public transportation related technologies, services, or strategies that are commercially available but have not yet been significantly deployed in NYS. This includes hardware, software, policies, and market development initiatives. An example could be a new wayside energy storage system that is in use in Europe but not yet sold or demonstrated in New York. NYSERDA's share of funding for any project of this type will be limited to a maximum of \$1,000,000. All Category 3 projects are required to provide at least 50% of total project costs in non-NYSERDA matching funds.

Proposers must select **only one (1) funding category per proposal**, which must be indicated in the proposal. Proposals that do not identify a funding category or include multiple funding categories may

not be reviewed by NYSERDA. Proposers may submit more than one proposal. Proposers applying under Category 1 or Category 2 should allocate 10-25% of the project budget for commercialization-related tasks, such as customer discovery and market research, IP protection, business plan development, and design for manufacturing tasks. Category 1 and Category 2 proposals are subject to NYSERDA's recoupment requirements, as outlined in Section V. NYSERDA may change a proposal to a more appropriate funding category if the category the proposer selects does not match the scope of the project; if this is the case and the proposal receives an award, it will be subject to the requirements of the funding category to which NYSERDA has assigned it.

NYSERDA reserves the right to modify a project's Statement of Work and may offer to fund any of the proposal's phases therein at a lower level than that requested, such as by offering to fund a feasibility study rather than a proposed prototype development effort.

C. Program Requirements

Project Scope. To qualify for funding, proposals must:

- Show a potential to reduce GHG emissions by improving or expanding public transportation use in NYS
- Address an innovative, under-utilized technology that would benefit from public exposure using credible performance metrics
- Provide quantifiable benefits to NYS with respect to the public transportation market
- Emphasize development of marketable products, services or strategies rather than basic research that is not replicable
- Provide products or strategies that minimize excessive customization tailored to one transit agency
- Identify a clear value chain and provide products or strategies that can be easily inserted into a transit agency's own value chain or operating/capital processes
- Show a potential to reduce a transit agency's operating or capital costs

Project Schedule, Phasing and Teaming. The following guidelines should be considered when developing proposals:

- Projects are expected to begin within six months of the proposal due date. As transit ridership continues to increase, infrastructure operates beyond useful life and technology evolves quickly, shorter projects are strongly preferred. Generally, the project schedule should not exceed: 18 months for Categories 1; and 24 months for Categories 2 and 3.
- Teaming Agreements are strongly encouraged, where appropriate, to enhance the likelihood of project success. Teams may include commercial firms, industry associations, research organizations, universities, government agencies, end-users, or other stakeholders.

Letters of Commitment or Interest. If relying on any other organization to do some of the work, provide services or equipment, or share in the non-NYSERDA cost, you must include a letter from that organization describing its planned participation and financial commitment if there is one. The lack of

such letters is viewed as a very serious proposal deficiency and will be judged accordingly in the evaluation process. Also include letters of interest or commitment from businesses or other organizations critical to the future commercialization, demonstration, or implementation of the project. **This is especially critical when working with a transit agency.** Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. Letters should not be solicited from NYSERDA personnel.

III. CONCEPT PAPER AND FULL PROPOSAL REQUIREMENTS

Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal.

NYSERDA is employing a **two-step** application process in this solicitation.

1) Concept Paper. For each Round of the solicitation, all proposers will be required to initially submit a four-page Concept Paper by the indicated due date using the Concept Paper Template provided in Attachment A. The Concept Paper should provide a concise overview of the proposer's public transportation innovation. The Concept Paper will be reviewed and scored by a scoring committee based on the Evaluation Criteria in Section IV. NYSERDA may invite proposers whose Concept Papers have been selected for further consideration to submit a Full Proposal. The invitation will include the date by which Full Proposals must be received. Failure to submit a Concept Paper precludes submission of a Full Proposal. **Submission of Full Proposals is by invitation only.**

2) Full Proposal. If notified by NYSERDA of a favorable Concept Paper review, the proposer will be invited to submit a Full Proposal using the instructions and attachments listed below.

The proposer's goal should be to concisely present the information needed to fully address the Full Proposal evaluation criteria (Section IV). 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 IV instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, effective, and concise 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. All proposers are required to submit, at a minimum, the following documents:

Proposal Narrative (with required attachments)
Statement of Work (instructions are in the Proposal Narrative files)
Budget Form (instructions are in the Proposal Narrative files)

Each Funding Category has its own respective Proposal Narrative, with the sections listed below. Proposer must follow the instructions provided during the Proposal Submission process to ensure that all required documents for the selected Funding Category are submitted.

Proposal Narrative - Funding Category 1 (Attachment B1)

- Executive Summary
- Problem Statement and Proposed Solution
- State of Research and Technology Targets
- TRL/CRL Calculator (Attachment C3)
- Commercialization Potential of Proposed Solution
- Feasibility Study Information
- Statement of Work (Attachment C1) and Schedule
- Project Benefits
- Budget
- Proposer Qualifications
- Letters of Commitment
- Attachments

Proposal Narrative - Funding Category 2 (Attachment B2)

- Executive Summary
- Problem Statement and Proposed Solution
- Business Model Canvas (Attachment C2)
- State of Research and Technology Targets
- TRL/CRL Calculator (Attachment C3)
- Commercialization Potential of Proposed Solution
- Three-Year Financial Projections Worksheet (Attachment C4)
- Demonstration Site and Product (for projects that include pilot or validation testing ONLY)
- Replication Potential of Proposed Demonstration (for projects that include pilot or validation testing ONLY)
- Statement of Work (Attachment C1) and Schedule
- Project Benefits
- Budget
- Proposer Qualifications
- Letters of Commitment
- Attachments

Proposal Narrative - Funding Category 3 (Attachment B3)

- Executive Summary
- Problem Statement and Proposed Solution
- Business Model Canvas (Attachment C2)
- State of Research
- TRL/CRL Calculator (Attachment C3)
- Commercialization Potential of Proposed Solution
- Three-Year Financial Projections Worksheet (Attachment C4)
- Demonstration Site and Product
- Replication Potential of Proposed Demonstration
- Statement of Work (Attachment C1) and Schedule
- Project Benefits

- Budget
- Proposer Qualifications
- Letters of Commitment
- 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 50% of the total cost of the project. Cost sharing can be from the proposer, other team members, and/or other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered cash contributions. Unpaid labor 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 table (expand table as needed):

	Cash	In-kind Contribution	Total
NYSERDA	\$	\$	\$ -
Proposer	\$	\$	\$ -
Others (list individually)	\$	\$	\$ -
Total	\$ -	\$ -	\$ -

A. Submission Process and Requirements

NYSERDA strongly prefers online submission for all solicitations. NYSERDA does not accept faxed or emailed submissions.

Complete and submit your application/proposal online at:

https://portal.nyserdera.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt000000FoKymAAF

When submitting online, you will have to answer questions as part of this process, in addition to uploading documents. Therefore, you should allot at least 60 minutes to complete and submit your application/proposal. The online proposal system closes promptly at 3:00 PM on the date above. Files in process, attempted edits, or submissions after the due date, will not be accepted. It is the proposer's responsibility to ensure that all pages have been included in the proposal.

When completing your application, submit documents only in the follow formats:

- .doc, .docx
- .pdf
- .xls, .xlsx
- .ppt, .pptx, .pps, .ppsx
- *Compressed versions of the above files types in .zip format*

File names must include the proposer's entity name.

Proposal files should be searchable. Do not convert hardcopies into PDFs or any other type of file using a scanner or by taking a photo of the hardcopy. Individual files should be 100MB or less in file size. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

For detailed instructions on how to submit a proposal, read the "[Application Instructions and Portal Training Guide](#) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>)..

NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible.

B. Contacting NYSERDA about a Proposal

No communication intended to influence this procurement is permitted.

If you have technical questions about this solicitation, contact **Richard Mai** at (212) 971-5342, ext. 3476 or by email at Richard.Mai@nyserda.ny.gov or Adam Ruder, Program Manager at (518) 862-1090, ext. 3411 or by email at Adam.Ruder@nyserda.ny.gov

If you have contractual questions or questions about NYSERDA's processes and policies regarding this solicitation, contact **Nancy Marucci** at (518) 862-1090, ext. 3335 or by email at Nancy.Marucci@nyserda.ny.gov. Questions regarding Attachments C2-C4 should be directed to Nicholas Querques at (518) 862-1090, ext. 3086 or by email at Nicholas.Querques@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 may result in a proposer being deemed a non-responsible offerer and may result in the proposer not being awarded a contract.

C. Compliance with State Finance Law

In compliance with [Sections 139-j and 139-k of the State Finance Law](#) (see **GENERAL CONDITIONS** below for additional information), proposers will be required to answer questions during proposal

submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

IV. CONCEPT PAPER AND FULL PROPOSAL EVALUATION

1) Concept Paper Evaluation. Concept Papers will be reviewed and scored by the scoring committee as per the evaluation criteria listed below. Those submitting Concept Papers that receive a favorable review, will then be invited to submit a Full Proposal. NYSERDA expects to notify awardees in approximately 4-6 weeks from Concept Paper due date if your proposal has been selected to receive an award.

New York State Impact

- Is the proposed approach a transformational advancement over existing solutions which, if successful, will result in truly significant improvements in energy use in public transportation, public transit ridership, GHG emission reductions, grid resiliency and utilization in New York State?
- Is the proposed approach likely to enable benefits at scale, that is, if developed, become an economically viable, replicable, and transferrable solution that can help NYS transit agencies make tangible improvements to their operations while achieving real energy savings?
- Is the proposed concept consistent with NYSERDA programmatic goals and mission?

Innovation

- Is the proposed approach unique and innovative?
- Is the proposed approach technically sound?
- Is the proposed approach aimed at the development and commercialization of technology or innovative business practice, as opposed to basic research aimed at discovery and fundamental knowledge generation?

State of the Art

- Does the applicant demonstrate an understanding of existing and other emerging solutions?
- Has a target market been identified and characterized and are there sufficient markets or needs for the concept/technology, project, or study?
- To what extent has the proposer engaged the market? To what extent does the proposer understand the market?
- Is there an understanding of competitive options being developed by others?
- Is the value proposition sufficient that the concept or technology will likely be successful in the target market?

Risks and Challenges

- Does the proposal clearly identify and prioritize the technical and techno-economic risks and challenges?
- Does the proposal offer a compelling explanation of how it will address barriers to market entry or adoption of the concept, product, or technology?

Project Plan

- Does the proposal clearly outline how the proposed outcomes will be achieved?
- Are the proposed project objectives reasonable and, if achieved, will they validate the proposed concept?
- Can the proposed work be reasonably accomplished for the amount of time, effort, and resources proposed?

Team

- Does the proposed team have the necessary expertise and resources to carry out the proposed work?

2) Full Proposal Evaluation. Full Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the following evaluation criteria:

Proposed Solution/Scope

- The proposal identifies a core problem pertinent to NYS that is essential to the advancement of Public Transportation technical solutions.
- The proposed project is feasible, innovative, and superior to alternatives, and will make significant progress toward solving the identified problem.
- The approach is testable and flexible, and the work schedule is reasonable.
- The selected Funding Category is appropriate for the proposed solution.

Project Benefits

- The proposed solution has the potential to significantly reduce GHG emissions or energy use from public transportation, or by helping more people use public transportation in NYS.
- There are sizable economic benefits to NYS in the form of innovation, manufacturing, or technical services, and there will be NYS jobs created and/or retained because of this project.
- There are additional significant benefits, such as increased resiliency to disasters or air quality improvements.
- A significant portion of the work will take place in NYS.

Market Potential

- The proposed solution addresses a core public transportation problem that is not being addressed by others and provides the potential for wide-scale replicability.
- The implementation strategy is well-conceived, appropriate for the current stage of development, and there is a sound plan for measuring progress and success.
- The proposer has exhibited a strong market demand for this solution and has already identified target customers or end-users.

Project Team/Support

- The project team has both a strong technical and business background with the relevant and necessary expertise to complete the proposed work.
- The proposer has successfully commercialized one or more products or deployed services.

- The proposer has secured strong commitments from all essential team members and partners, including both letters and cost sharing, and has demonstrated strong support from necessary market actors.
- For projects relying on a public transit authority or agency, all necessary project team support such as availability of drawings, Right-of-Way access and protection, and Operations & Maintenance staff buy-in has been obtained

Project Value

- The cost of the project is strongly justified with respect to the expected benefits and the potential market or deployment opportunity.
- The proposer has met or exceeded the recommended cost share amount, and these contributions are appropriate given the financial resources of the team and the degree of risk.
- The proposal outlines a plan for pursuing additional funding and development support, if necessary, to bring the proposed solution to full commercialization.
- The proposal shows a strong potential to reduce a transit agency's operating and capital costs.

NYSERDA may request additional data or material to support applications/proposals. NYSERDA may also request proposers interview with all or part of the Scoring Committee to address any questions or provide clarification regarding information outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

Program Policy Evaluation Factors. NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- 1) Whether the proposed project will advance the goals of the State Energy Plan and the Clean Energy Fund, which include improving resilience and reducing GHG emissions.
- 2) The degree to which there is diversity of technologies, approaches, methods and institutions that would be complementary to and support a diversity of geographic locations and of technical approaches and methods that, in conjunction with the existing portfolio of projects funded by NYSERDA, best achieve the overall goals and objectives of NYSERDA.
- 3) The degree to which there is industry involvement and demonstrated ability to accelerate the adoption of energy or related technologies.
- 4) Whether the proposed project will accelerate transformational technology advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty.
- 5) The degree to which there are technical, market, organizational and/or environmental risks associated with the projects that outweigh the potential benefits.
- 6) The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- 7) Past performance of the proposer on other NYSERDA projects
- 8) The degree to which the applicant has the resources (human and financial) to be able to complete the project.
- 9) The degree to which pricing and hourly rates are in line with the rest of the market.

NYSERDA expects to notify awardees in approximately 6-10 weeks from proposal due date if your proposal has been selected to receive an award.

V. AWARDEE CONDITIONS

If selected for an award under this solicitation, please read this section carefully as it contains the requirements and conditions for awardees.

A. Contract Award

NYSERDA anticipates making multiple awards under this solicitation. Upon execution of a contract, any awardee of this solicitation will be considered a NYSERDA contractor. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the statement of work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA will use the sample agreement to contract successful proposals.

NYSERDA may, at its discretion, elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions.

Selected proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

B. Deliverables

Final Report: Upon completion of the contract period, the Contractor shall prepare a non-proprietary/non-confidential Final Report covering all aspects of the work performed under this Agreement; the report shall include information on the following subjects: 1) Discussion of the observations and findings and recommendations, if any, from all tasks, and avenues for further improvements, as appropriate; 2) Discussions of the project results and lessons learned regarding configuration, capabilities, and benefits of the project; and 3) Environmental, and economic benefits, and implementation scenarios associated with such.

A payment based on the final deliverable will be reserved until project completion. NYSERDA may choose to negotiate the amount of such payment.

Annual Metrics Reports

NYSERDA requires awardees to annually submit a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates must reference credible sources and estimating procedures, and all assumptions must be

documented. Reporting must commence the first calendar year after the contract is executed. Reports must be submitted by January 31 for the previous calendar years' activities (i.e. reporting period). Reporting will continue for 2-10 calendar years post contract close, depending on funding category. Reporting metrics must be provided in accordance with a web-based form, which will be distributed by NYSERDA.

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

C. Recoupment

For any new product research and/or development, NYSERDA will generally require a royalty based on sales of the new product developed. NYSERDA's standard recoupment terms are valid for a period of fifteen years or until the contractor pays NYSERDA an amount equal to the amount of funds paid by NYSERDA to the contractor, whichever comes first. The recoupment terms are:

For products made in New York State:

- 1.5% of sales
or
- 10% of all license revenue

For products made outside of New York State:

- 5% of sales
or
- 30% of all licensing revenues

For any new projects exceeding \$75,000 that involve product development, including business development, NYSERDA will require a royalty based on sales and/or licensing of the new product developed (see Attachment E, Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration projects. See the definitions below to determine if your project will be subject to recoupment. Note that NYSERDA will make final determinations as to whether proposals fit within the demonstration or product development categories. **Proposals to PON 3914 under Funding Category 1 and Funding Category 2 are subject to these product development recoupment requirements. Proposals submitted under Category 3 that NYSERDA deems to be more appropriately classified as product development may also be subject to these product development recoupment requirements.**

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

warranted. While incremental improvements may be incorporated based on the demonstration results, the final product design is essentially complete.

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

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

Accessibility Requirements

NYSERDA requires contractors producing content intended to be posted online 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](#).¹

VI. GENERAL CONDITIONS

If changes are made to this solicitation, notification will be posted at:

https://portal.nyserdera.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt000000FoKymAAF

A. Confidential and Proprietary Information

Give careful consideration before submitting confidential information to NYSERDA as part of your proposal. Consider and review whether confidential information is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. 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](#).² However, NYSERDA

¹ <https://www.nyserdera.ny.gov/-/media/Files/About/Style-Guide/ADA-Accessibility-Requirements.pdf>

² <https://www.nyserdera.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>

is bound by State Freedom of Information Law and cannot guarantee the confidentiality of any information submitted.

B. Freedom of Information Law

[The New York State Freedom of Information Law, Public Officers law, Article 6](#),³ 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.”

<http://law.justia.com/codes/new-york/2015/pbo/article-6>

C. 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
<https://esd.ny.gov/>

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
<https://ny.newnycontracts.com/>

³ <https://www.dos.ny.gov/coog/foil2.html>

D. State Finance Law, Sections 139-j and 139-k

NYSERDA is required to comply with [State Finance Law sections 139-j and 139-k](#).⁴ These provisions contain procurement lobbying requirements. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

E. Tax Law Section 5-a

NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the Department) whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification: see [ST-220-TD](#).⁵ 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](#).⁶ The Department has also developed [guidance](#)⁷ for contractors.

F. 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.

⁴<https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>

⁵ http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf

⁶ http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf

⁷ <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>

G. Disclosure Requirement

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

VII. ATTACHMENTS

Attachment A – Concept Paper Template

Attachment B1 – Proposal Narrative for Funding Category 1 – Technical Feasibility Studies

Attachment B2 – Proposal Narrative for Funding Category 2 – New Product Development

Attachment B3 – Proposal Narrative for Funding Category 3 – Demonstration of Technologies and Business Models

Attachment C1 – Statement of Work Sample Format

Attachment C2 – Business Model Canvas Template

Attachment C3 – Technology and Commercialization Readiness Level Calculator

Attachment C4 – Three-Year Financial Projections Worksheet

Attachment D – Budget Form and Instructions

Attachment E – Sample Agreement

Energy-Related Air Quality and Health Effects Research

Program Opportunity Notice/Request for Proposal (PON) 3921

\$ 2,500,000 Available*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.***Proposals Due: October 10, 2018 by 3:00 PM Eastern Time***

The New York State Energy Research and Development Authority (NYSERDA) has developed a long-term research plan for the Environmental Program (Air Quality and Health Effects plan components are available through NYSERDA's website at <http://www.nyserda.ny.gov/-/media/Files/Publications/Research/Environmental/Air-Quality-Research-Plan.pdf>). This Program Opportunity Notice (PON) is guided by the Air Quality and Health Effects Research Plan and supports research to improve the scientific and technical foundation for addressing key policy-relevant questions related to air quality and health effects research. Targeted research Categories are listed below with the research plan topic number and include:

- A. Atmospheric Species—Improve Monitoring, Characterization, Trends, and Understanding of Processes (Topic B.1.b)**
- B. Trends Analysis, Model Evaluation, and Accountability Studies (Topic B.1.c)**
- C. Improved Energy-sector Modeling for Energy and Environmental Policy Evaluation (Topic B.1.e)**
- D. Emissions Estimates—Better Characterization of Poorly Characterized Sources and Pollutants (Topic B.2.a)**
- E. Accountability Studies and Health Impact Assessments (Topic B.3.c)**
- F. Monetization of Air Quality and Public Health Benefits Due to Clean Energy (Topic B.3.f)**

\$2,500,000 is available for projects. Awards are limited to \$500,000; NYSERDA anticipates making multiple awards addressing multiple targeted research areas. Project durations are expected to be in the range of one (1) to three (3) years. Total funds available may not be sufficient to fund all proposals received. Cost-sharing by proposers of at least 25% is preferred. Leveraging of other research funding is strongly encouraged. In-kind cost-sharing is acceptable. NYSERDA may fund selected proposals in phases or assign a Project Advisory Committee. NYSERDA reserves the right to build teams between selected contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, PDF or zip files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). However, proposals must be submitted as a single file, inclusive of all supporting documents. Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](#) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Ellen Burkhard – primary designated contact at (518) 862-1090, ext. 3332 or Ellen.Burkhard@nyserda.ny.gov or Gregory Lampman – secondary contact (Designated Contact) at (518) 862-1090, ext. 3372 or by e-mail Gregory.Lampman@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or Nancy.Marucci@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** ALL PROPOSALS MUST BE RECEIVED BY 3:00 PM EASTERN TIME ON THE DATE NOTED ABOVE. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3pm Eastern Time, proposals or files in process or attempted edits or submission at any time after 3pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSEDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

The major goals of NYSEDA's Environmental Research Program are to increase understanding and awareness of the environmental impacts of current and emerging energy options, provide a scientific and technical foundation for formulating effective, equitable, energy-related environmental policies and resource management practices, and build scientific capabilities within New York State (NYS).

There have been many changes in the past few years with respect to energy and environmental policy and energy markets. While there is uncertainty in some areas such as federal policies, states such as New York have developed policies that are buoyed by market trends in renewable energy, natural gas use, and emerging technologies.

Energy policies in NYS and elsewhere are expected to change how and where electricity is generated, how buildings are heated and cooled, and how people and goods are transported. Many of these transformations will result in changes in the emissions profiles of energy sources and their proximity to where people live and work. Some technologies, such as zero-emissions technologies (energy efficiency, solar, wind, hydroelectric power, and electric vehicles) will result in significant emissions reductions. However, given the intermittency of solar and wind energy, they may require some level of backup by other generation sources or energy storage. Similarly, electric vehicles, while non-emitting during operation, do require charging from the grid. Where and when charging takes place will also alter emissions profiles. Combustion technologies are similarly complex. Fuel switching, such as re-powering to natural gas that displaces coal- or #6 fuel oil-combustion, can result in significantly lower sulfur dioxide (SO₂), nitrogen oxide (NO_x), and particulate matter (PM) emissions. In contrast, biomass fuels used for heating, combined heat and power, or electricity generation will result in large increases of PM emissions (100- to 2000-fold) and may require emissions control technology to mitigate local air quality and public health impacts. Finally, energy storage technologies will allow for more strategic dispatch of both renewable and conventional energy.

New York is embarking on a comprehensive energy strategy that includes initiatives presented in the State Energy Plan, Reforming the Energy Vision (REV), Clean Energy Fund (CEF), and Clean Energy Standard (CES).

REV and additional initiatives in the State Energy Plan have the following goals to be accomplished by the year 2030:

- 40% reduction in greenhouse gas (GHG) emissions from 1990 levels
- 50% of energy generation from renewable energy sources
- 23% decrease in energy consumption in buildings

Collectively, these objectives will influence energy-related emissions with respect to their spatial and temporal patterns and will also affect ambient concentrations of ozone (O₃), PM, their precursors, co-pollutants and air toxics (which include hazardous air pollutants) as well as GHGs. Human exposure to these energy-related pollutants and associated public health effects will change as well. Overall public health and environmental benefits are anticipated by reducing fossil fuel use. However, local and site-specific impacts are more challenging to estimate.

REV, for example, is expected to transform the way in which NYS values, generates, distributes, and manages electricity. Its implementation is expected to result in the increased penetration of distributed energy generation and storage technologies and installation of micro grids. These technologies will include solar, wind, fuel cells, hydroelectric, energy storage, and various combustion technologies, along with an increased use of energy efficiency technologies and demand-side management measures to address peak load demand on New York's electric system. The REV effort contains more than 40 initiatives to build a clean, resilient, and more affordable energy system including:

- The NY-Sun Incentive Program aims to add more than 3 gigawatts (GW) of installed solar capacity in the State by 2023.
- New York has an Offshore Wind Master Plan for 2.4 GW to be developed by 2030.
- Charge NY is an initiative to encourage installation of 10,000 electric vehicle charging stations and encourage electric vehicle adoption.
- New York Truck – Voucher Incentive Program provides incentives for clean vehicle technologies to provide for the purchase of alternative fuel vehicles and verified diesel emission control technologies.
- New York Prize is a first-in-the nation competition to help communities create micro-grids – standalone energy systems that can operate independently in the event of a power outage. This helps communities reduce costs, promote clean energy, and build reliability and resiliency into the electric grid and will also help modernize NYS's electric grid system. Micro-grid projects selected include the use of solar and natural gas-fired combined heat and power systems with selective catalytic reduction [for NO_x reduction]. Some facilities with existing diesel generation will be adding diesel particulate filters.
- NYS anticipates deploying 1,500 MW of energy storage by 2025.

Large changes to the electric transmission and distribution grid will be needed for implementing REV. The New York State Department of Public Service has a proceeding underway to enable an increase in overall Distributed Energy Resources (DER) penetration and more accurately compensating for the benefits that DER installations provide to the system. One of the factors is environmental benefits. The Environmental Research Program can help inform policy-makers of the differentiated environmental and public health benefits of DER spatially and temporally. For example, a solar installation may have higher economic value in a congested area of the grid due to the locational based marginal price (LBMP) but it may also have greater environmental benefits as well, especially on high electric demand days, if it can prevent higher emitting resources from being required. More information may be found at:

<http://www3.dps.ny.gov/W/PSCWeb.nsf/All/8A5F3592472A270C8525808800517BDD>

A wide range of distributed generation and emission control technologies exist, and in some cases, distributed generation will displace a larger emissions source and decrease both local air pollution and human exposure. However, distributed generation may contribute to adverse local air quality and public health impacts, depending upon fuel choice and the specific siting location. Understanding the operational cycles and exhaust gas temperature in detail as well as the site-specific landscape and meteorology are important for project design. For example, placement of a new source within an urban canyon where emissions cannot easily disperse could adversely impact people at street level through operable windows or air intake units, and this must be avoided.

Along with the initiatives stated above, the New York State Department of Environmental Conservation (NYSDEC) is developing a rule for distributed generation sources. This will assist NYS in planning to meet the National Ambient Air Quality Standards (NAAQS) for ozone (O₃) and continuing to meet the NAAQS for fine particulate matter (PM_{2.5}). More information may be found at: <http://www.dec.ny.gov/chemical/113887.html> and <http://www.dec.ny.gov/regulations/104487.html>

In 2015, the NAAQS for O₃ was strengthened from 75 to 70 parts per billion (ppb) and will soon be under review again. The NAAQS for PM_{2.5} is currently under review. Decisions at the federal level to no longer pursue the Clean Power Plan and potentially delay implementation of the NAAQS may also have an impact on emissions sources and air quality within, upwind and downwind of NYS. Despite the uncertainty of federal policy, the energy markets have continued to work toward making solar and wind power development competitive against natural gas and coal.

Governor Cuomo's 2017 State of the State Address called for "Health Across All Policies," and directs NYS agencies to consider public health and human health in all decision and policy making. Use of zero and low emissions technologies promotes a healthy and safe environment and may reduce chronic disease in burdened communities in NYS by improving outdoor air quality and reducing exposures to PM_{2.5}, O₃, and air toxics. Considerations for distributed generation projects under REV will be critical to avoid unintended consequences in short-term human exposure at the community or neighborhood level, especially in such high population densities as New York City (NYC), and to prevent backsliding on the gains in air quality and associated human health benefits over the past two decades. More information may be found at: https://www.health.ny.gov/prevention/prevention_agenda/health_across_all_policies/

A new generation of monitoring technologies offers opportunities for improved spatial, temporal, and vertical observation of air quality and meteorology, and can improve exposure assessment. These include measurements by satellites, remote sensing (e.g. from rooftops aircraft or vessels), multiple low-cost monitors, and New York's state-wide MESO-scale NETwork (MESONET) capable of providing high-quality weather and climate data.

Together, these policy objectives, technical innovations in energy technology and management, market changes, and emerging scientific capabilities will present opportunities and potential challenges for air quality and public health in NYS. This Environmental Research Program area will support research to improve the scientific and technical foundation for the key policy-relevant questions in the Environmental Research Plan and described below.

Proposers are requested to consider these energy, environmental, and public health objectives and scientific needs when responding to the targeted research topics in this PON.

Proposals will be considered responsive to this solicitation only if they address the targeted research areas described below. Preferred projects are those that (in no particular order): provide data in a form that is useable by policy analysts and policymakers; utilize research/analytical capabilities in New York State; are comprised of interdisciplinary teams including environmental, health and social scientists, and public policy analysts; and

leverage out-of-State, federal, or other resources to address critical environmental issues in New York State. Projects should support research that helps improve the scientific and technological foundation to address key policy-relevant questions related to air quality and health effects research. They should build upon or coordinate with existing efforts, and not duplicate work by others. When appropriate, selected projects may be asked to work with a Project Advisory Committee assigned by NYSERDA. NYSERDA reserves the right to build teams between selected contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding.

II. Program Requirements—Targeted Research Areas

A. Atmospheric Species—Improve Monitoring, Characterization, Trends, and Understanding of Processes (Topic B.1.b)

Problem Statement

The production, transport, storage, and use of energy results in emissions of many gaseous and particulate chemical species. These emissions may be involved in numerous complicated atmospheric processes, including O₃ production and aerosol formation. Information is needed to characterize atmospheric species, including trace gas concentrations, particle size distributions, and chemical composition of aerosols. The species of interest in the atmosphere include not only those species that are directly emitted or that are formed through atmospheric chemistry, but also intermediate species that can provide insights into the chemistry. Beyond ground-based measurements, the vertical profile and spatial distributions of aerosols and gases are needed for improved understanding of atmospheric processing and air quality management.

Research Focus

- Measure ground-level methane to characterize and estimate methane gradients adequately, identify sources of direct or fugitive emissions, and inform the methane inventory (Topic B.2.a).
- Research multisensory-data analysis from different instruments, which can potentially improve vertical, spatial and temporal resolution of air pollutants such as O₃, NO_x, VOCs, air toxics, GHGs, PM, and quality of aerosol optical data, for estimating coarse/fine-mode fractions, separating absorbing and non-absorbing aerosols, or observing plumes from aloft or from peaking electricity plants, and particle formation events. Remote sensing data such as that measured by satellite or roof-top mounted remote sensing instruments or aircraft can help to provide spatial and vertical pollutant distributions, identify sources, improve emission inventories and evaluate modeled distributions of trace gases and aerosols where monitors are lacking. Intensive satellite observations with very high resolutions focused in on smaller areas such as the NYC region would be considered. Validation measurements, such as those at long-term monitoring sites, should also be performed.
- Develop methodologies for interpreting satellite or remote sensing data in terms of air quality parameters of interest for air planning and public health (surface quantities). For example, aerosol optical depth has been used as a proxy for surface PM_{2.5}, but the correlation between these two measurements is complex and needs to be better understood.
- Measure PM_{2.5} species, particle size, and gases using a high spatial and temporal resolution for better source identification and apportionment, process studies, identification of contributions by major events, support of exposure assessment, health studies, and trend analysis. Samples for analysis may include archived samples from previous studies, or from multiple monitors in a small geographic (e.g. neighborhood- or site-specific) area to maximize research value.

B. Trends Analysis, Model Evaluation, and Accountability Studies (Topic B.1.c)

Problem Statement

Recent trends analyses have demonstrated that SO₂, NO_x, PM_{2.5} and aerosol sulfate have been decreasing significantly over the past decade across NYS due to state and federal air quality and energy policies and changes in energy markets. In contrast, annual ozone has not shown a significant decrease, however there are fewer extreme-high levels in summer and an elongated ozone season starting in spring. At the local level, NYC has experienced very large decreases in SO₂ emissions due to phasing out of #6 fuel oil. Continued studies are needed to assess how air quality regulatory programs, energy policies, and electricity, heating, and transportation market trends impact air quality and public health, especially locally. This will require improved modeling for energy systems, improved air quality modeling, and observations with high spatial and temporal resolution. This is especially important as distributed generation, renewable energy, energy storage, and electric vehicle markets increase. For example, the MESONET provides improved meteorological information, including mixing height, that might be used to improve spatial (vertical and horizontal) and temporal resolution of photochemical and dispersion modeling results for air planning and permitting or distributed generation design.

Research Focus

- Develop improved air quality modeling techniques to support high spatial (horizontal and vertical) and temporal resolution to evaluate local and regional air quality and possibly exposure estimates and health impact analysis. This may be site-specific, neighborhood, or regional scale.
- Develop approaches for evaluation of atmospheric models for improved spatial and temporal resolution to determine:
 - how well models simulate changes in air quality induced by changes in weather versus changes in emissions;
 - how well models simulate the dynamics of the energy markets and changes in emissions;
 - the ability of air quality models to estimate accurately the emissions reductions needed to comply with standards or local air quality goals; and
 - zero state emissions scenarios in the Northeast for ozone and PM_{2.5}.

C. Improved Energy-sector Modeling for Energy and Environmental Policy Evaluation (Topic B.1.e)

Problem Statement

Enhancement of New York's electricity-sector modeling capability is necessary to more fully evaluate the impacts of existing and proposed energy and environmental regulations and policies on the electricity-generation sector. Critical issues include emissions, electric system operation, markets, wholesale prices for energy and capacity, allowance prices, fuel use and diversity, imports and exports, new capacity needs, new technologies, plant retirements, integration of micro-grids, distributed generation, energy storage, electric vehicles, building energy systems, and electric system reliability. It is important to further develop and refine the capability and tools to analyze both generation and transmission systems with high temporal and spatial resolution. This capability will enable the comprehensive analysis of New York policies as well as policies developed at the regional and national levels, informing decision-makers in developing sound energy and environmental policies.

Research Focus

The following are examples of modeling analyses that are eligible under this solicitation:

- Model the impacts of energy and environmental policy proposals on local energy use and resulting emissions, air quality, and public health with high spatial and temporal resolution.

- Model energy and emissions scenarios for wide-scale adoption of new vehicle technologies (electric, hybrid, idle reduction) and in fleets with limited geography such as at airports.
- Improve and apply energy models to better characterize the air-quality impacts of distributed generation and microgrids including when operating in islanded mode or with energy storage at the neighborhood scale. This is challenging due to low stack heights and influence of surrounding buildings and terrain.

D. Emissions Estimates—Better Characterization of Poorly Characterized Sources and Pollutants (Topic B.2.a)

Problem Statement

Much of the current emissions inventory is based on emission factors that in some cases are more than 20 years old. Due to changes in technology, activity patterns, and emissions of interest, there is a need to evaluate the current inventory to identify those source categories that are poorly characterized and to improve the inventory by improving emissions factors and activity data. Recently, there have been important changes in energy technologies, fuels used or their activity patterns, and domestic fuel extraction (current and legacy). Due to regional variations in air quality and source types, and the cost of measuring emission factors, efforts to improve the emissions inventory should consider having a regional focus and involve U.S. EPA and adjacent states.

Mobile Source Emissions: With respect to mobile source emissions, there have been significant improvements in technologies including hybrid and electric vehicles and increases in efficiency and reductions in emissions. Along with technology advances, other factors are influencing transportation emissions over time, such as changing durability of the control technologies and different vehicle operating conditions, which can include the influence of driver behavior and operational (including illegal) bypasses of emissions control equipment during on-road driving.

The dramatic changes in vehicle emissions over time may not be adequately captured in current mobile source emission inventory estimates, such as EPA's Motor Vehicle Emission Simulator (MOVES). An assessment specific to the NYC region is needed to determine the adequacy of the current mobile source NO_x emissions inventory. This is a significant issue since air quality modeling suggests that ground-level ozone is highly sensitive to transportation NO_x emissions.

In addition to NO_x, the rapid decreases in transportation VOC emissions are shifting the urban VOC budget away from energy (e.g., gasoline, diesel) to non-energy related sources (e.g., coatings, adhesives, consumer products, vegetation). If the VOC species mix in and around NYC is changing, it has implications for the reactivity of the evolving VOC composition in the formation of ground-level ozone and organic carbon PM_{2.5}.

Methane: In 2018, the National Academy of Sciences (NAS) Committee has developed a report on anthropogenic methane emissions in the U.S. (funded by EPA, DOE, NOAA, and NASA) and their focus is to improve measurement, monitoring, reporting, and development of methane inventories. There remains a need to combine strategies for improving air quality and reducing greenhouse gases by improving the methane inventory in NY. This need may be addressed by understanding methane emissions as well as identifying the sources of methane emissions and the technology to find and measure these emissions.

Ammonia: While NO_x and SO₂ emissions are decreasing, ammonia emissions are increasing. Major sources in NYS include agricultural and animal operations, fertilizer applications, and urban and regional

transportation sources. An EPA Clean Air Science Advisory Committee (CASAC) panel is currently reviewing the secondary NAAQS for SO_x and NO_x to protect “environmental health” and NO_x would include both oxidized N (NO_y) and reduced N (ammonia and ammonium).

Oil and Gas: Oil and gas use and emissions patterns are changing. Mobile sources were described above but there are residential, commercial and industrial applications using oil and gas fuels that need more complete emissions estimates. There is also domestic oil and gas extraction currently taking place in upwind areas as well as NYS. Fugitive emissions result from fuel storage transport systems (e.g. trains and pipelines), extraction operations and abandoned wells within NYS. Improved estimates of all these emissions are needed.

Research Focus

Research should focus on those emissions inventories with greatest uncertainties. Examples of energy related sources in need of improved inventories are: stationary diesel engines; mobile sources, including passenger vehicles, diesel buses and trucks, non-road equipment; marine vessels; locomotives; stationary commercial and residential boilers and furnaces; electrical generating units (including peaking units), distributed generation units, pipelines, trains, compressor stations, and storage depots. Emissions of primary particle by size, speciated PM emissions, PM precursors, O₃ precursors, VOCs, non-methane organic compounds (NMOCs), air toxics, hazardous air pollutants, methane, and ammonia are high priorities for improvement. This characterization includes understanding emissions outside the average operation such as upsets, start-ups, and shut-downs. In addition, emissions from back-up generators need better characterization because of their use on high electricity-demand days. Satellites and other remote-sensing techniques may provide improved measurements of temporal variability in emissions and top-down estimates for comparison with bottom-up emission inventory estimates. Intensive satellite observations with very high resolutions focused in on one area such as the NYC region could be considered.

Mobile Sources: Investigate the adequacy of mobile source emission inventories currently used by air quality planners to appropriately estimate NO_x, VOC and other emissions (elemental carbon, air toxics) from the transportation sector. Also refine estimation of major sources like seaports and airports in New York City (NYC) or NYS. Potential questions to address include:

- Do field measurements and/or fuel-based estimates of NO_x emissions in the NYC region reasonably agree with estimates from MOVES or other models used in air quality modeling?
- If transportation VOC emissions have significantly declined, are the other non-energy VOC sources adequately quantified in emission inventories used for air quality planning?
- Can current mobile source inventory models such as MOVES adequately capture prospective pollution changes from transitioning the mobile source fleet in the NYC region to electric and alternative-fueled vehicles?

Methane: Develop a refined gridded bottom-up methane inventory for NYC, NYS and the region by source categories (natural gas and petroleum systems, waste water treatment facilities, enteric fermentation and manure management, other agriculture processes, soils, forest sinks and wetlands, waste landfills, abandoned wells, other land management techniques, offset credits, etc.). Top-down studies (e.g., aircraft, satellites) could be used to reconcile top-down and bottom-up approaches. In addition, identify reasonably available methane detection technology and develop a list of oil and gas sector equipment and which technology may be used to identify leaks from that equipment. Furthermore, differentiate between leak detection technology used to identify leaks vs. technology used to measure leaks.

Ammonia: Develop a robust state and regional level NH₃ inventory. Top-down studies (e.g., aircraft, satellites) could be used to reconcile top-down and bottom-up approaches.

Oil and Gas: Develop an updated inventory for emissions from oil and gas extraction, storage and transport systems including pipelines, trains, compressor stations, and distribution systems. Beginning with the sources covered in the EPA oil and gas tool, ensure that inputs and assumptions are correct and refine data such as components per well (i.e., separators). Categorize activities with the appropriate source classification codes (SCC) and assign emissions (methane, VOC, toxics) to each SCC. Furthermore, it is important to distinguish emissions on a county and basin level.

- Useful inventory types
 - Pollution emissions inventory – which pollutants and at what rate out of each process, characterization of leaks.
 - Equipment inventory – for example, how many pneumatic devices? Driven by gas or air? Low bleed vs. high bleed?
- An assessment of “small” facilities vs. “large” facilities. Several studies show a phenomenon called a “fat tail” meaning most emissions come from a limited number of facilities which are typically smaller operations.
- Determine the extent of emissions after the city gate (i.e., going to the homes and businesses) vs. before the city gate.

Emissions estimates for oil and gas proposals should plan to be completed in no more than one (1) year from project start due to the immediate information need.

E. Accountability Studies and Health Impact Assessments (Topic B.3.c)

Problem Statement

Studies are needed to examine whether emerging energy technologies and environmental policies to reduce emissions yield measurable improvements in air pollution concentrations, exposure, and by extension, human health. Regulatory programs are focused on reducing source emissions. However, there are also emerging sources such as distributed generation technologies that may decrease or increase PM, CO, NO_x, SO₂, or air toxics exposure. Accountability studies will assess policies that alter emissions, ambient concentrations, personal exposures, and health effects. Health impact assessments may be performed to determine the effectiveness of a site-specific change in energy technology, or broader energy or environmental policy or regulatory actions on a local or regional level.

Research Focus

- Perform exposure assessments or health impact assessments of locations or demonstration projects with potentially significant changes in emissions such as distributed generation with a microgrid (e.g., NY Prize), distributed generation such as large-scale renewable (solar, wind), energy efficiency, pedestrian/green vehicles zones, or where older technology has been or may be displaced (for example coal-fired power plants or “peakers”).
- Develop a better understanding of the historical trend in atmospheric formaldehyde and other air toxic concentrations. New York City and State monitoring indicates that while many pollutants of concern have been decreasing over time as a result of pollution control programs and shifts in energy use, one

important air toxic, formaldehyde, appears to be increasing. The reasons for this trend are not fully understood. One possible explanation related to energy trends is a postulated increase in secondary formation of formaldehyde as a by-product of increased natural gas and biofuel combustion. An alternative (or additional) explanation is that secondary formaldehyde formation in the atmosphere has become more rapid in recent years because of NO_x reduction programs. Formaldehyde can also be a useful indicator species in conjunction with NO_x for assessing the relative effectiveness of NO_x versus VOC control measures, and in evaluating changes in atmospheric chemistry over time as a result of pollution control programs. Research questions to address include:

- o Why have formaldehyde concentrations increased in the New York City region while many other air pollutants are decreasing?
- o Do measured trends in formaldehyde concentrations relative to NO_x levels provide information to air quality planners on the effectiveness of past pollution control programs, and give an indication of their future effectiveness?
- o Will increased natural gas combustion in distributed generation systems (e.g., microgrids) in the NYC region have implications for public exposure to formaldehyde?

F. Development of methods to inform the monetization of air quality and public health benefits due to clean energy (Topic B.3.f)

Problem Statement

Increasing clean energy generation has important public health benefits due to a reduction in air pollution. Recent studies have examined the monetization of health impacts in relation to new national and regional energy policies. For example, Buonocore et al. 2016 modeled a national policy scenario resembling the U.S. Environmental Protection Agency's Clean Power Plan and estimated \$29 billion in total national health benefits in 2020 with \$1.6 billion in NYS alone.¹ In 2017, another study analyzed the public health impacts of the Regional Greenhouse Gas Initiative (RGGI) in 2009-2014 and estimated the value of its health and productivity benefits at \$3.0-\$8.3 billion, with NYS among the highest states receiving the benefits.² Additionally, Millstein et al. 2017 evaluated wind and solar climate and air-quality benefits from 2007-2015 in ten different regions of the United States. The study found that the benefits vary dramatically by region and over time, with cumulative wind and solar air-quality benefits of 2015 US\$29.7–112.8 billion mostly from 3,000 to 12,700 avoided premature mortalities, and cumulative climate benefits of 2015 US\$5.3–106.8 billion.³

Specifically, in NYS and guided by the REV principles, the Value of Distributed Energy (VDER) Generation Phase One Decision was released by the NYS Public Service Commission in March of 2017, and the Phase One Implementation Order was released Sept 14, 2017. This new methodology takes the first step in moving beyond Net Energy Metering (NEM) to a more accurate valuation and compensation of Distributed Energy Resources. VDER factors include the price of the energy, the avoided carbon emissions, the cost savings to customers and

¹ Buonocore J. J., Lambert K. F., Burtraw D., Sekar S., Driscoll C. T. 2016. "An analysis of costs and health co-benefits for a U.S. power plant carbon standard." PLoS ONE 11(6):1-11.

² Abt Associates. 2017. "Analysis of the Public Health Impacts of the Regional Greenhouse Gas Initiative, 2009–2014." Available at: <http://abtassociates.com/AbtAssociates/files/7e/7e38e795-aba2-4756-ab72-ba7ae7f53f16.pdf>

³ Millstein, D., Wiser, R., Bolinger, M. & Barbose, G. The climate and air-quality benefits of wind and solar power in the United States. *Nat. Energy* 2, 17134 (2017).

utilities, and other savings from avoiding expensive capital investments.⁴ As a result, there is a need to monetize the avoided air emissions and public health impact from the changes in energy sources in NYS. This will require new methods to perform energy and air quality modeling that allow health benefits analysis at much finer-scale than previously (county-wide) with higher time resolution than before (annually).

Research Focus

Research is needed to quantify and monetize the air quality and health benefits of energy policies including but not limited to renewable energy, energy efficiency, and energy storage. This topic is related to Topics B and C above that improve air quality modeling and energy modeling respectively. Projects are needed to develop more refined tools and incorporate NYS-specific data with increased spatial and temporal resolution to improve monetization estimates of the public health benefits for reduced air pollution due to clean energy. For example, there is a need to quantify and monetize the air quality and health benefits of deploying renewable energy and energy storage technologies rather than dispatching higher emitting peaking power plants during the summer in highly populated areas such as NYC. Projects could also be developed to inform the VDER process.

III. Proposal Requirements for Targeted Research Areas

Proposers must submit a complete proposal in either PDF or MS Word format. Proposals must be submitted as a single file, inclusive of all supporting documents. 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 NYSDERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

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, "PON 3921" and the page number.

Proposals should follow the format below and provide sufficient and succinct information to complete the required descriptions and answer the questions described in the Proposal Evaluation criteria listed in Section IV. The preferred length of each proposal section is shown. **Proposals are subject to return without evaluation if more than 17 pages are submitted** (not including Budget Forms (Attachment A), one-page letters of commitment, and resumes), or if a font smaller than 11 point is used. **Proposers may contact Ellen Burkhard at 518-862-1090 ext. 3332 before preparing a proposal to discuss proposal requirements.**

Proposal Format: Proposals must be submitted as a single file, inclusive of all supporting documents. The file should be 100MB or less in file size.

PART 1: Project Summary (Four pages total)

⁴ For more information, visit <https://www.nyserda.ny.gov/vder>

- A. Project Summary and Policy Relevance: Summarize the proposed project and its policy implications. Clearly indicate how each of the main goals of the project relates to one or more of the Targeted Research Areas. Describe any energy, air quality, or public health policy issues this research would potentially inform. Detail the project goals and major objectives. Explain how the project results will address, in a timely manner, a problem/opportunity facing New York State with respect to pollutants associated with the generation, transport, use, storage or distribution of energy. Coordination with other national, state or local cooperative environmental research initiatives is desirable. Explain how the project will make use of other relevant data and coordinate with other initiatives where possible to provide maximum value to New York State. (Two pages)
- B. Summary of Project Methods: Summarize the proposed project methods and overall research design. Explain why the equipment, models, methods, and other aspects of the work are expected to be capable of meeting objectives. Describe the extent to which these have been accepted by the scientific community and policy making organizations, or otherwise demonstrated to be valid. The methods must be outlined in detail and clearly designed to meet the project objectives including spatial and temporal resolution. The methodology for statistical analysis of the data from all aspects of the project must be clearly presented. (Two pages)

PART 2: Statement of Work (Seven to nine pages total + Budget documents not included in page count)

- A. Tasks: The Statement of Work is the primary contractual document that identifies the task sequence, deliverables, and provides the basis for progress payments. It is an action document, divided by the individual tasks or procedures required to accomplish the project objectives. Each task should be identified with a description of its objective, how it will be performed, and the anticipated deliverables and milestones. As appropriate, tasks should include a clear description of general operating procedures, quality control and quality assurance measures, analytical procedures, data analysis, evaluation, and statistical analysis to be used to optimize the quality of the data and project results. (Five to seven pages)
- B. Information Transfer and Dissemination Plan: The Statement of work must include a task for reporting and information transfer. The following baseline reporting and information transfer work will be required for each project and should be considered in allocating resources for this task: presentations at meetings and completing monthly or quarterly progress reports including a substantive description of project progress and of successful data capture and quality control, a comprehensive final technical report, and articles for submission to peer-reviewed journals. In addition, each principal investigator will be required to prepare a short paper summarizing the usefulness of their research findings for environmental policy formulation. Principal investigators are strongly encouraged to collaborate with social scientists/policy analysts in preparing these policy papers and a technical editor for all final documents. Findings-to-date shall be presented to NYSERDA's Environmental Research Program Advisory Group and invited guests at annual meetings (in Albany, NY) arranged by NYSERDA staff. Some projects may be assigned a Project Advisory Committee by NYSERDA. NYSERDA reserves the right to build teams between selected contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding.

Additional methods of information transfer and reporting may be proposed for involving pertinent policy makers or regulators and other target audience representatives during the project and for using the anticipated project results to achieve projected public benefits. Efforts to increase access to, or use of data collected, is encouraged. Outreach or education about project findings is also encouraged. (One Page)

- C. Master Schedule: Complete a schedule showing start and completion times for all major tasks, in terms of months after project initiation. Include major milestones and meetings, tests, demonstrations, reports, and other key deliverables. The Schedule should be realistic and reflect the nature of environmental research. (One Page)
- D. Budget Form: Complete the attached Budget Form (Attachment A) for the entire project, including any in-kind contributions and other cost-sharing. The degree of cost-sharing will be considered in the evaluation of proposals. **Cost-sharing of at least 25% is preferred.** Leveraging of other research funding is preferable. In-kind cost-sharing is acceptable. Proposers must provide sufficient detail in the supporting schedule for each cost element, its description, and amount to justify the budget and allow for evaluation. (Not included in page count).

PART 3: Supporting Documentation (Three pages total, + supporting documents not included within the page count)

- A. Management Plan and Qualifications:
- Organizational Chart - Prepare an organizational chart listing all key personnel by name. The role for each of the team members must be clearly described in the proposal. Include any subcontractors, postdoctoral or graduate students if known, and other sponsors involved in the project, showing their roles and responsibilities. (One page)
 - Tasking Chart - Prepare a tasking chart, describing approximately in hours or days the effort contributed by each of the key personnel to each task and the total effort. (One page)
 - Related Projects – Provide a sample of related projects that have been undertaken by the proposer and/or subcontractors. For each project, provide a brief summary, describing its title, scope, funding amount and client contact numbers. NYSERDA may contact listed clients. (One page)
 - Resumes - Submit relevant portions of resumes of all key project personnel, including those of proposed subcontractors, and postdoctoral or graduate students if known. Include education and experience that are relevant to the proposed work. (One page each - not included in page count)
- B. Letters of Commitment or Support: If you are relying on other organizations or businesses to do work, provide services, equipment, or data, or share in the non-NYSERDA cost, include a letter from that organization or business describing their commitment. If the use of unpublished data from other researchers is necessary for the project to be successful, letters of support showing the availability of these data must be included. **Absence of letters of commitment or support will be interpreted as the proposer not having commitment/support from those parties.** (One page each - not included in page count)
- C. Cost Sharing: A cost-share of at least 25% of the total project cost is preferred. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts that have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. If applicable, show the cost-sharing plan in the following format (expand table as needed, maximum 1 page).

	Cash	In-Kind Contribution	Total
NYSERDA	\$	\$	\$
Proposer	\$	\$	\$
Others (list individually)	\$	\$	\$
Total	\$	\$	\$

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.
- Provide a detailed budget for the overall project.
- Include a detailed budget for each of the subcontractors/consultants that justifies the amount proposed.

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.

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. Publications, presentations, posters, and briefings are common metrics for projects supported by this PON. 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: Sample Metrics Reporting Guides for the metrics that you will be expected to provide and the reporting duration. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

IV. Proposal Evaluation

Proposals that meet Proposal requirements will be reviewed by a Technical Scoring Committee using the Evaluation Criteria below. **If an investigator(s) identified in a proposal is an investigator on one (1) or more current or previous NYSERDA-funded projects, performance on these projects will be considered in the evaluation of the current proposal.**

A. Technical Evaluation Criteria: (listed in order of importance)

- a. **Usefulness and Value of Project Results** – Does the project indicate how each of the main goals of the project relate to one or more Targeted Research Areas? How useful are the project results expected to be in validating or improving New York State policies, regulations, impact assessments, models, or mitigation methods? Will the results be available in a timely manner? To what extent will the project use and integrate other relevant data and coordinate with other research/monitoring initiatives (e.g., with field sampling and data analysis) to provide maximum value to New York State?
- b. **Soundness of Project Methods and Research Design/Statement of Work and Schedule** – How suitable are the proposed project methods and overall research design for meeting the project objectives and yielding accepted results? How comprehensive, realistic, and explicit is the Statement of Work with respect to the project objectives and proposal requirements? Are specific measurable targets of success provided where applicable? Are the Tasks reasonable and clearly described? Are the methods outlined in detail and clearly designed to meet the project objectives? Are the deliverables for each task clearly presented? Is there a coherent plan for synthesizing the data set?
- c. **Management Plan and Qualifications** – How well has the proposer organized a management plan and a project team with the necessary educational, technical, operations, technology transfer, financing, and administrative experience for successfully completing the project? Are all roles and responsibilities clearly defined? Does the team include partnerships with other research groups? Has an interdisciplinary team been assembled including environmental scientists, social scientists/public policy analysts, and technologists, as appropriate? How many of the team members are located in New York State? Have letters of support demonstrating the availability of data and agreement to participate been included?
- d. **Communication of Results** – How promising is the reporting and information transfer plan for successfully using project results to realize the potential benefits of the project? Has the proposer described a comprehensive final technical report, and articles for submission to peer-reviewed journals? Does the proposer have a well-crafted plan and partnerships to prepare a short paper summarizing the usefulness of their research findings for environmental and or energy policy formulation and identified an interested audience? Has the proposer included a review of the draft final report by a technical editor? Has the proposer planned to present results to NYSERDA's Environmental Research Program Advisory Group and invited guests at annual meetings (in Albany, NY) arranged by NYSERDA staff? Has the proposer acknowledged the project may be assigned a Project Advisory Committee by NYSERDA?
- e. **Cost Criteria** – How justifiable and reasonable are the overall costs compared to the expected usefulness of the project results and the level of effort and duration of the project? How justified and reasonable are the proposer's cost allocations and co-funding contributions (cash, in-kind services, etc.)? To what degree does the proposal include meaningful cost-sharing from other key organizations important for the success of the project? Is there a detailed budget provided for the overall project including sufficient detail in the supporting schedule for each cost element, its description, and amount to justify the budget?

B. Other Considerations: Projects will also be reviewed to determine whether they reflect the overall mission of NYSERDA, including:

- The balance among projects of long- and short-term benefits and risk/reward relationships, and whether similar projects are presently or have been previously funded.
- The general distribution of projects of diverse topics related to program goals.
- The ways in which the proposed project fits with currently funded projects. (Attachment D)
- The ease of measuring project success in quantifiable ways.
- If applicable, the responsiveness of the proposer in conducting other NYSERDA-funded work.

II. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

Contract Award – NYSEDA anticipates making multiple awards under this solicitation. NYSEDA anticipates a contract duration of one to three years, unless NYSEDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 12 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

Accessibility Requirements – If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSEDA will post to the web, the following language must be included. NYSEDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSEDA's Accessibility Requirements](#).

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

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

attention of 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.

III. Attachments:

Attachment A – Budget Form

Attachment B – Sample Agreement including Exhibit A - template statement of work

Attachment C – Air Quality and Health Effects Publications List

Attachment D – Current NYSERDA-funded energy-related air quality and health effects research projects

Attachment E – Sample Metrics Reporting Guide



ANDREW M. CUOMO
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

"Solar For All Facilities"
Request for Proposal (RFP) 3802
\$ 19,800,000

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

Round 1 Proposals Due: August 2, 2018 by 3:00 PM Eastern Time*

NYSERDA will provide details and notice of subsequent rounds at a later date.

Community solar enables customers to share in the benefits of solar power even if they live in an apartment or other building that cannot support a rooftop solar system. To help low-income New Yorkers access the benefits of solar power, NYSERDA wishes to secure community solar subscriptions for low-income customers and provide them at no cost to more than 10,000 low-income New Yorkers.

NYSERDA requests proposals for Solar For All Facilities ("Participating Facilities") to serve residential customers participating in Solar For All ("Participating Subscribers") with small, no-cost community solar subscriptions. A Participating Facility may comprise all or part of a solar photovoltaic project interconnected under New York's Community Distributed Generation policy ("CDG Project"), subject to the rules described herein. Each Participating Facility will be managed by a "Facility Sponsor," which will respond to this RFP, contract with NYSERDA, and be responsible for fulfilling the requirements described in this solicitation. As an optional component to the proposal, Facility Sponsors may also include Community Co-Benefits ("Co-Benefits") beyond the cost savings that will be delivered to Participating Subscribers.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Christopher Rogers (Designated Contact) at (212) 971-5342, ext.3020 or by e-mail at Christopher.Rogers@nyserdera.ny.gov or Max Joel (Designated Contact) at (212) 971-5342, ext. 3035 or

by e-mail at Max.Joel@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or Venice.Forbes@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3pm Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3pm Eastern Time, files in process or attempted edits or submission after 3pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

Community solar enables customers to share in the benefits of solar power even if they live in an apartment or other building that cannot support a rooftop solar system. To help low-income New Yorkers reap the benefits of solar power, NYSERDA wishes to secure community solar subscriptions for low-income customers and provide them at no cost to more than 10,000 low-income New Yorkers.

NYSERDA requests proposals for Participating Facilities to serve Participating Subscribers with small, no-cost community solar subscriptions. A Participating Facility may comprise all or part of a solar photovoltaic project(s) interconnected under New York's CDG Project policy, subject to the rules described herein. Each Participating Facility will be managed by a Facility Sponsor, which will respond to this RFP, contract with NYSERDA, and be responsible for fulfilling the requirements described in this solicitation. As an optional component to the proposal, Facility Sponsors may also include Co-Benefits beyond the cost savings that will be delivered to Participating Subscribers.

II. Program Requirements

Proposers must complete a *Proposal Worksheet* using the template provided in Attachment B – Proposal Worksheet, which must be accompanied by documentation regarding project information, proposal information, and project eligibility.

A. Overview of Solar For All Participating Facilities and Facility Sponsors

1. Facility Sponsors will enter into a service contract with NYSERDA to allocate a portion of the CDG credits of a CDG Project to Participating Subscribers. The portion of the CDG Project allocated to Participating Subscribers will be the Participating Facility.
2. Facility Sponsors (or related parties) will be responsible for ensuring the construction, interconnection, and ongoing operation and management of the CDG Project.
3. Participating Facilities may be no greater than 1 MW DC. Participating Facilities may represent a portion of CDG Projects larger than 1 MW DC, and may represent all or a portion of CDG Projects smaller than 1 MW DC.
4. NYSERDA will be responsible for acquiring individual Participating Subscribers and will provide the Facility Sponsor with all necessary subscriber information for the utility CDG Allocation Form ("Allocation Form"). NYSERDA will maintain a backlist of Participating Subscribers, and the Facility Sponsor will update or replace Participating Subscriber information as directed by NYSERDA. NYSERDA anticipates that each Participating Subscriber will receive an allocation equivalent to approximately 1,000 – 2,000 kWh per year.

5. The Facility Sponsor will add the Participating Subscribers to the CDG Project's electric utility Allocation Form, and will provide NYSERDA with verification of the utility's acceptance of the Allocation Form and the delivery of credits to the Participating Subscribers.
6. The Facility Sponsor will be responsible for all communication with the utility to ensure that Participating Subscribers receive the applicable CDG credits. The Facility Sponsor will promptly inform NYSERDA of notification from the utility of any invalid subscriber accounts or other crediting issues, and will promptly modify subscriber information as directed by NYSERDA.
7. The Facility Sponsor will bank any unallocated CDG credits from the Participating Facility to be allocated as directed by NYSERDA prior to their expiration.
8. Facility Sponsors may not bill Participating Subscribers, or otherwise market products or services to Participating Subscribers except as approved by NYSERDA in writing.
9. Subject to review and approval at NYSERDA's sole discretion, the Facility Sponsor may elect to offer Participating Subscribers an "expanded subscription" for additional CDG credits, beyond the amount allocated under a Solar for All agreement, under a direct contract and billing arrangement between the Facility Sponsor and the Participating Subscriber.
10. The contract term for Participating Facilities will be ten (10) years.
11. Facility Sponsors will invoice NYSERDA annually based on the projected CDG credits generated and allocated to Participating Subscribers by the Participating Facility for the subsequent year.
12. Annual payment to Facility Sponsors will be adjusted to reflect the difference between the projected and actual CDG credits generated and allocated to Participating Subscribers as documented by the Facility Sponsor ("annual true up"). In addition, the final annual payment will be calculated at 80% of the projected CDG credits; 20% will be held until the completion of the contract, when a final annual true up will occur.
13. The Participating Facility, and the Facility Sponsor's responsibilities, must be maintained in the event of a sale or other change in the status of the CDG Project.
14. The CDG Project and/or Participating Facility may make use of NY Green Bank financing or other NYSERDA programs, subject to those programs' eligibility requirements and award processes.

B. Community Co-Benefits (Optional)

Facility Sponsors, as part of their proposal to this RFP, may elect to include commitments to Community Co-Benefits derived from the Participating Facility or associated CDG Project. Co-Benefits may include:

1. Workforce training and hiring commitments in local low-income communities.
2. Community-based or participant ownership models.
3. Other community or participant benefits.

Co-Benefits must be specific, viable, and enforceable; and must be supported by an inclusive and accessible process. Co-Benefits must be documented in the *Community Co-Benefits Plan* as described in **Section III. Proposal Requirements**, and Participating Facilities that include Co-Benefits will be subject to contingencies on program payments. Proposals that include Co-Benefits may be awarded additional points by the Scoring Committee as detailed in **Section IV. Proposal Evaluation**.

III. Proposal Requirements

Proposers must be the owner of an eligible CDG Project (see below) or have a binding commitment from the CDG Project owner that will allow the Proposer to meet all the requirements of a Facility Sponsor. The Proposer must document to NYSEERDA's satisfaction that the owner of the CDG host meter, and/or other entities with an interest in the CDG Project, have waived any claims on the CDG Project that could hinder the performance of the Participating Facility or otherwise conflict with the requirements.

Proposals must be for Participating Facilities associated with CDG Projects in one of the state's Investor Owned Utility (IOU) service territories that are subject to the NY Public Service Commission's Order Establishing a Community Net Metering Program¹. CDG Projects in the service territory of the Long Island Power Authority are not eligible.

Proposals for Participating Facilities must demonstrate that the associated CDG Project is in an advanced state of development or has entered commercial operation as of August 2, 2018. If selected, the CDG Project must enter commercial operation within six (6) months of contract execution with NYSEERDA, unless otherwise agreed by NYSEERDA in writing. NYSEERDA will determine eligibility based on the criteria set out below and documented per the Proposal Requirements. The Proposer must include with its proposal documentary evidence demonstrating the details listed below in **Sub-Section A. CDG Project Information, Eligibility Documentation, and Pricing**.

A. CDG Project Information, Eligibility Documentation, and Pricing [See Attachment B – Proposal Worksheet]

1. NY-Sun Incentive Application # and status
2. CDG Project location, electric utility, NYISO zone, date of operation, date of 25% interconnection payment (if applicable), VDER tranche status, and LSRV location (if applicable).
3. Technical information (azimuth, mount type, total installed capacity, inverter size, and estimated production) needed to project value of CDG credits per kWh and annual total (\$). Technical information will be verified prior to contracting.
4. Committed portion of injected annual production (also represented as kW and annual kWh equivalent) to CDG Project.
5. Bid price in \$ per kWh (also represented on an annual basis, fixed for the term of the agreement).
6. Documentation to NYSEERDA's satisfaction that the Facility Sponsor either is the CDG Project owner (controls the CDG host meter) or has a contract with the CDG project owner authorizing the Facility Sponsor to control the CDG host meter in order to allocate CDG credits. Documentation to NYSEERDA's satisfaction that the CDG Project owner is bound by the assignment clause of the contract so that the Participating Facility is maintained in the event of project sale.
7. CDG Project has completed Step 7 of the New York State Standardized Interconnection Requirements and Application process, has an executed Interconnection Contract, and made the full upgrade payment to the utility; or, if a Coordinated Electric System Interconnect Review ("CESIR") is not required, has an executed Interconnection Contract.
8. Site control for the CDG Project site for no less than 20 years documented by an executed lease agreement for the site, an executed agreement to purchase the site, or an executed

¹ New York Public Service Commission. *Order Establishing a Community Distributed Generation Program and Making Other Finding*. July 17, 2015. <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={76520435-25ED-4B84-8477-6433CE88DA86}>.

license or other agreement granting exclusive right to use the site for the purpose of constructing and operating the CDG Project.

9. CDG Project has received all discretionary (non-ministerial) permits, approvals, and determinations from all Authorities Having Jurisdiction (AHJs), and is not subject to a solar moratorium in any AHJ; including SEQRA determination and special use permit where applicable.
10. CDG Project and Facility Sponsor have ability to securely exchange participating subscriber information with NYSERDA, manage all communication with the utility necessary to ensure that participating subscribers receive the applicable CDG credits, and meet all other technical and administrative responsibilities.

B. Community Co-Benefits Plan (Optional)

Proposers that choose to include Co-Benefits in their proposal must complete a *Community Co-Benefits Plan* using the template provided in Attachment C – Co-Benefits Template, with accompanying documentation. The *Community Co-Benefits Plan* and accompanying documentation must address the following criteria:

1. Team and Qualifications
 - Summary of applicable background and experience, including active connections to the relevant community.
 - Specific role of each team member/organization in implementing the *Community Co-Benefits Plan*.
2. Inclusion and Engagement
 - Plan for facilitating wider community engagement on Co-Benefits planning and implementation, and/or description of prior engagement activities and outcomes.
 - Description of how stakeholder groups will have opportunities to provide feedback and input throughout the Co-Benefits planning and implementation process.
3. Oversight and Enforcement
 - Identification of a qualified government or non-profit agency that will provide long-term oversight and enforcement of the Co-Benefits implementation, including a description of the relevant experience of the organization.
 - Detailed description of the monitoring and oversight that will be provided, which includes an enforcement mechanism to address performance, timeframe for implementation, a process for the verification of Co-Benefits.
4. Co-Benefits Activities and Outcomes

Detailed description of the planned Co-Benefits, including specific and quantitative commitments, activities to be undertaken, and outcomes to be realized prior to and after initial allocation/commercial operation. The *Community Co-Benefits Plan* may include one or more of the Co-Benefits below and must be documented as described.

- Workforce training and hiring commitments in disadvantaged communities
 - o Documentation of partnership(s) with local training and/or employment agencies.
 - o Detailed plan for training and hiring, including job descriptions and wage targets.
- Community-based or participant ownership models
 - o Documented commitment of anticipated community owners and/or facilitating representative organizations, and their participation (as applicable) in the project development process.

- o Details on ownership and/or revenue sharing structure(s), including management, legal and financial terms and projected economic benefit(s) to community/participant owners.
- o Details on project financing and sources, particularly locally-sourced financing.
- o Documentation of protections in place to ensure that there will be no short or long-term negative financial impacts for low income participants/owners.
- Other Co-Benefits
 - o Specific description and documentation of other community Co-Benefits associated with the project.

C. NYSERDA Solar For All Participating Facility Standard Contract

Participating Sponsors will execute the NYSERDA Solar For All Facility Standard Contract (Attachment A – Sample Agreement). Proposers may include a list of requested exception to the terms of the agreement with their proposals, which NYSERDA may accept or deny. Requests for exceptions will play no role in the evaluation of proposals.

IV. Proposal Evaluation

A. Clarification of Proposals and Interviews

While evaluating proposals, NYSERDA may request additional information about any item in a proposal. 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.

B. Eligibility Review

Proposals will be reviewed for eligibility per the criteria detailed in Sect. III: Proposal Requirements. Proposals that are deemed ineligible may be resubmitted with modifications to subsequent solicitation rounds.

C. Scoring Process

For each proposal, NYSERDA will calculate the Participating Facility's Leverage Ratio. Leverage Ratio is defined as the ratio of the projected electric cost savings to income-eligible program participants per CDG credit received to the proposed price per CDG credit. Proposals with Leverage Ratios of less than 1.1 will be deemed ineligible.

Eligible proposals will be awarded up to 100 points based on Leverage Ratio. The Scoring Committee may award up to 10 additional points for the *Community Co-Benefits Plan*, with the total proposal score not to exceed 100 points. Co-Benefits will be evaluated based on viability, inclusion and governance, oversight and enforcement, and the Co-Benefits activities and outcomes as demonstrated in the Proposer's *Community Co-Benefit Plan* and accompanying documentation. Proposals will then be ranked by score.

Eligible proposals with the highest Leverage Ratios will be deemed fundable subject to the following limits:

- No more than 50% of total program funding will be awarded in any one RFP round.
- No more than 40% of total program funding will be awarded to any one proposer, including subsidiaries and related entities.
- No less than 20% of the total program funding will be awarded to Participating Facilities in the area served by National Grid, New York State Electric & Gas, and Rochester Gas & Electric.
- No less than 20% of the total program funding will be awarded to Participating Facilities in the area served by Central Hudson Gas & Electric and Orange & Rockland.

- No less than 20% of the total program funding will be awarded to Participating Facilities in the area served by Con Edison.

D. Program Policy Factors

NYSERDA reserves the right to accept or reject proposals based on the following Program Policy Factor(s):

- Geographic distribution.
- CDG Project size distribution.
- CDG Project owner and Facility Sponsor diversification.
- Inclusion of proposals offering Community Co- Benefits.
- Weighted average Leverage Ratio of all proposals funded.
- Total NYSERDA investment in the CDG Project and/or Participating Facility.

V. General Conditions

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

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

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

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

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

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

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

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of 10 years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 6 weeks from the proposal due date of whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

VI. Attachments:

Attachment A – Facility Standard Contract – Sample Agreement

Attachment B – Proposal Worksheet

Attachment C – Community Co-Benefits Plan Template

New York State Energy Research and Development Authority

Albany

17 Columbia Circle, Albany, NY 12203-6399

(P) 1-866-NYSERDA | (F) 518-862-1091

nysesda.ny.gov | info@nysesda.ny.gov

Buffalo

726 Exchange Street

Suite 821

Buffalo, NY

14210-1484

(P) 716-842-1522

(F) 716-842-0156

New York City

1359 Broadway

19th Floor

New York, NY

10018-7842

(P) 212-971-5342

(F) 518-862-1091

West Valley Site

Management Program

9030-B Route 219

West Valley, NY

14171-9500

(P) 716-942-9960

(F) 716-942-9961

**Design and Support for Innovative Energy Efficiency and Clean Energy Market Development Programs
Request for Qualifications (RFQL) 3711**

Proposals Due: May 23, 2018 by 5:00 PM Eastern Time¹

The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to establish a pool of contractors qualified to provide program design, analysis, and support for innovative energy efficiency and clean energy programs and initiatives across the Authority. Proposers may submit a proposal to provide qualifications/support in any or all of the above categories, however, separate proposals must be submitted for each category and each sub-category, where applicable. NYSERDA seeks qualified firms with expertise in the following categories:

- A. Net-Zero Energy and carbon-based energy codes, and Net-Zero Energy design and construction, to support policy and code development, implementation, and enablement**
- B. Development of and compliance with Product and Appliance Efficiency Standards**
- C. Development of web-based applications and data assets to support clean energy Customer Acquisition, Value Proposition development and related services**
- D. Development of web-based data sharing and application development platforms and data analytics that can be applied to clean energy markets**
- E. Intelligent efficiency and building energy systems networking**

Qualified firms, companies, or organizations (including teaming arrangements) must demonstrate the necessary technical and market expertise to assist NYSERDA in reaching aggressive energy and emission-reduction goals by 2030. Proposals will be evaluated and scored against each other within each category (A-E). Proposals for sub-categories (A1-A4) will be evaluated and scored against each other within the respective sub-category. Proposers should clearly identify which category (A-E) or sub-category (A1-A4) the proposal is intended to address. NYSERDA anticipates entering into Umbrella Agreements with the top-ranked proposers in each category. Work will be issued either directly to the top-ranked proposer in each category or sub-category (up to \$250,000) or through a mini-bid process to the firms that qualify (in the respective category or subcategory) under this RFQL. Where national laboratories have been qualified under a category or subcategory, there may be instances where mini-bids are issued only to national laboratories. The expected start date for work under this program is June 2018.

There will be a general [Bidder's Webinar](#) to provide guidance and instructions for submitting proposals will be held on **April 9, 2018 at 2 p.m.** There will be additional bidder's webinars for in-depth overview of each category. See Section II of the RFQL for instructions on how to register.

Proposal Submission:

Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

¹ 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. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>.

No communication intended to influence this procurement is permitted except by contacting Ryan Moore (primary contact) at (518) 862-1090, ext.3267 or by e-mail ryan.moore@nyserda.ny.gov or Chris Corcoran (secondary contact) at (518) 862-1090, ext.3007 or by e-mail christopher.corcoran@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext.3335 or nancy.marucci@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

I. Introduction

The New York State Energy Research and Development Authority (NYSERDA) is a public benefit corporation with the mission of advancing innovative energy solutions in ways that improve New York's economy and environment.

This solicitation will establish a pool of contractors qualified to provide various strategic, technical, and program support resources. NYSERDA seeks a range of experts in the clean energy field to help design and support NYSERDA programs and initiatives, including (but not limited to) refining strategy, determining interventions, performing analysis or modeling scenarios, interpreting customer needs and supply chain trends, and applying a test-measure-adjust approach for each market intervention. This will require a breadth of experience and expertise in objective economic, policy, technical analysis, and analytical modeling to inform and enhance the impact of programs and initiatives under NYSERDA's Clean Energy Fund (CEF).

To help NYSERDA design and support innovative initiatives and programs, proposers should be intimately familiar with the strategies and objectives of the CEF Investment Plans related to the categories/subcategories associated with this solicitation. More information regarding the CEF Investment Plans can be accessed at: <https://www.nyserda.ny.gov/About/Clean-Energy-Fund>.

The contractor pool established through this solicitation will provide specialized expertise and as-needed consulting services across multiple support areas to augment NYSERDA staff capabilities to undertake distinct, time-sensitive projects. NYSERDA will continue to provide research and analytic work to inform relevant policy and program strategies, but will use these services to accelerate market, technology, and business model innovations under the CEF.

Contractors selected under this solicitation will be required to demonstrate high-quality analytical and technical expertise, as well as the ability to respond promptly on short notice, assemble the needed team, and thoroughly complete assignments within firm deadlines.

The following government entities may access the selected vendors that result from this RFQL to provide services consistent with the scopes as identified in this RFQL, as long as that entity determines that this procurement meets its own internal procurement requirements:

- 1) Any state agency, authority, or other state entity under the Governor's authority;
- 2) Any other branch of government or other political subdivision of New York State not under the Executive authority of the Governor;
- 3) Any local government or other municipal government entity, such as but not limited to:
 - a. Counties,
 - b. cities,
 - c. towns,
 - d. villages
 - e. hamlets
 - f. water or electric districts
 - g. fire districts
 - h. library districts



II. Bidder's Webinars

General Overview and Submission Guidance Webinar:

NYSERDA will conduct a general Bidder's Webinar on **Monday, April 9, 2018 at 2:00 p.m.** to review the submission process and provide a general overview of the RFQL. Click [here](#) to register for this webinar.

General Webinar:	<u>Overview and Submission Guidance</u>
Date and Time:	Monday, April 9, 2018 2:00 p.m. EST
Registration URL:	https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=ef1a47f8cc15975abcc55a431863f6255
Event number:	669 985 371
Event password:	3711
Audio conference:	+1-415-655-0001
Access code:	669 985 371

Category Webinars:

Below are the date/time and registration information for the in-depth webinars for each category.

Category A:	<u>Net-Zero Energy and carbon-based energy codes, and Net-Zero Energy design and construction, to support policy and code development, implementation, and enablement</u>
Date and Time:	Thursday, April 12, 2018 10:00 a.m. EST
Registration URL:	https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=ede3d56f9eb99a67764b223279f535f33
Event number:	662 985 036
Event password:	3711
Audio conference:	+1-415-655-0001
Access code:	662 985 036

Category B:	<u>Development of and compliance with Product and Appliance Efficiency Standards</u>
Date and Time:	Tuesday, April 10, 2018, 3:00 p.m. EST
Registration URL:	https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=e9a64eba976c386f4a245486650000820
Event number:	666 214 016
Event password:	3711
Audio conference:	+1-415-655-0001
Access code:	666 214 016

Category C:	<u>Development of web-based applications and data assets to support clean energy Customer Acquisition, Value Proposition development and related services</u>
and	
Category D:	<u>Development of web-based data sharing and application development platforms and data analytics that can be applied to clean energy markets</u>
Date and Time:	Thursday, April 12, 2018 3:00 p.m. EST
Registration URL:	https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=ed96ae4e615f8351e24a189cf75efa097
Event number:	661 080 307
Event password:	RFQL3711

Audio conference:	+1-415-655-0001
Access code:	661 080 307
Category E:	<u>Intelligent efficiency and building energy systems networking</u>
Date and Time:	Wednesday, April 11, 2018 2:00 p.m. EST
Registration URL:	https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=ede898d4976719aef0387612ca67019fb
Event number:	662 391 420
Event password:	3711
Audio conference:	+1-415-655-0001
Access code:	662 391 420

Bidders are encouraged to submit written questions for all categories prior to the webinar to ryan.moore@nyserda.ny.gov, and include “RFQL Bidder Webinar Question” in the subject line. Following the webinar, NYSERDA will post a listing of frequently asked questions with responses on this RFQL’s webpage. NYSERDA will post all questions anonymously and NYSERDA’s written responses will supersede any responses given during the Bidders Webinar.

III. Requirements and Criteria

Proposers are invited to submit, in the format described in Section VI, a proposal describing their skills, expertise, qualifications, and personnel rates in any or all of the following Categories or Subcategories. Proposers must clearly identify the Category or Subcategory to which the proposal responds (separate proposals must be submitted for each category/subcategory). Across all areas, contractors may be asked to present and explain their project work to policymakers and energy industry stakeholders.

Proposals will be judged on the following criteria:

- Breadth and depth of experience in each category;
- Understanding of opportunities and challenges in the category;
- Quality of expertise;
- Capabilities to meet the category needs;
- Cost structure (low cost); and
- Other Considerations.

IV. Categories

Proposers may submit to any or all categories outlined below, and each category will be judged independently from the others. Regarding subcategories, **proposers must choose at least one subcategory under Category A** and will be evaluated against the other proposers that submit under the respective subcategory. **Separate proposals must be submitted for each category and subcategory.** Each subcategory is intended to create a separate pool of contractors that can meet the specified needs of the subcategory. NYSERDA seeks qualified firms with expertise in the following categories:

A. Net-Zero Energy and carbon-based energy codes, and Net-Zero design and construction, to support policy and code development, implementation, and enablement

NYSERDA seeks proposers with experience and expertise in both the residential and commercial sectors in building-energy-code policy, planning, and initiative development, including code advancement, code enactment, code compliance, code enforcement, code enablement and net zero energy design and construction. Specialized expertise will be needed to support future building-energy-code work, including, but not limited to, moving the market towards zero-energy and zero-carbon codes as well as the increased use of Net-Zero Energy construction in the State. Proposers must demonstrate the following as it relates to the subcategory(ies) for which they are submitting a bid:

- Broad experience developing energy code policy and energy codes and capability to perform analysis needed to support this work;
- In-depth understanding of key building science and building energy system issues;
- Broad understanding of code application, compliance, and enforcement for new and existing buildings and capability to perform analysis needed to support this work;
- Expertise in advancing Net-Zero Energy design and construction in the new construction and major renovation market with key stakeholders;
- Ability to develop innovative, replicable strategies, including but not limited to market challenges and competitions, to influence the development, design, and construction of both new buildings and substantial renovations to increase: energy efficiency, on-site and off-site renewable energy, energy storage, real-time energy monitoring, electric vehicle charging and mass transit considerations, improved indoor environments for building occupants, etc.;
- Technical expertise to develop and issue integrated design and construction protocols and to create online platforms to streamline the design process;
- Expertise in quantifying and communicating actual building performance impacts of specific measures or packages of measures in ways that convince designers and developers to routinely include the measures in future construction projects; and
- Expertise in any or all of the following subcategories, but proposers must select at least one subcategory:
 - **Subcategory 1 (Code Strategies & Development):** Advancing climate goals through innovative energy code policy and program development, including strategies bridging code and construction activities;
 - **Subcategory 2 (Code Implementation):** Tools, training, and curriculum development on energy code and construction topics, including demonstrated ability to translate code technical requirements into accessible concepts for targeted audiences;
 - **Subcategory 3 (Code Enablement):** Support for the analysis and design needed to create a pathway to significantly increase Net-Zero Energy construction in all commercial, multifamily, and single-family building types;
 - **Subcategory 4 (Net-Zero Energy design and construction):** Support program development, perform technical and market analysis, and help create tools and resources that will help the market meet advanced clean energy and net zero energy performance standards.

Demonstration of expertise must address how any identified efforts made a difference, including the extent of impact and influence achieved.

B. Development of and compliance with Product and Appliance Efficiency Standards

NYSERDA seeks proposers with policy, technical, design, and compliance expertise in product and appliance standards. Proposers must demonstrate:

- Experience screening and analyzing standards at both the state and federal levels;
- Expertise in supporting standards development and dissemination strategies;
- Strong ability to work with stakeholders, including manufacturers, to develop consensus solutions;
- Understanding of technology testing protocols; and
- Broad understanding of market tracking and compliance implementation.

C. Development of web-based applications and data assets to support clean energy Customer Acquisition, Value Proposition Development and Related Services

NYSERDA seeks proposers with experience in the aggregation, analysis, and application of building-parcel, demographic and other data and expertise in the design and development of web-based market solutions for increasing sales and customer satisfaction in relation to energy efficiency and integrated clean energy solutions.

Proposers are invited to submit a proposal describing their qualifications, skills, and expertise with documented references in the following areas:

- Curation and analysis of building parcel, built space and associated databases in New York (state-wide) which include geo-coding, structure information, zoning/property use, HVAC system, fuel source, utility service, and/or other associated data, such as demographic and psychometric data, which support customer acquisition or development of customer specific value propositions.
- Web-based applications or resources that support market adoption of energy efficiency measures, and integrated clean energy solutions, such as:
 - Customer Targeting Tool: A web-based resource for use by contractors, distributors and equipment suppliers to identify specific customers or groupings of customers with high potential fits for energy efficiency, renewable energy or storage technology purchases.
 - Value Proposition Tools: Market and technology targeted “calculators” or comparison tool² resources focused on the residential, multifamily and/or small to mid-size commercial sectors:
 - To be used by contractors to develop viable energy efficiency and/or integrated clean energy sales offerings, including up-front capital costs, return on investment, and other information such as enhanced functional performance, health, safety and reliability to support the sales and development of projects/solutions.
 - To be used by property owners, tenants and other end-users to determine viable energy efficiency, renewable energy or storage options, up-front capital costs, financing options, return on investment and other information to support the purchase and financing of energy efficiency and/or integrated clean energy projects/solutions.
 - Other tools which assist contractors in optimizing their project development and customers in acting upon beneficial investments in energy efficiency and integrated clean energy.

D. Development of web-based data sharing and application development platforms and data analytics

NYSERDA seeks proposers with experience in the design and maintenance of web-based data sharing and tool development platforms, and/or expertise in data analytics tools with the objective of improving customer education, reducing costs throughout the supply chain, and identifying new business opportunities to support increased sales demand and customer satisfaction in relation to energy efficiency and integrated clean energy solutions.

Proposers are invited to submit a proposal describing their qualifications, skills, and expertise with documented references in the following areas:

- Data mining and analytic prowess to spur growth in business to business and business to consumer markets where the performance results of innovators and early adopters drive broader market interest and adoption
- Implementation and maintenance of a web-based data sharing platform capable of hosting hack-a-thons, managing acquired data assets and an application development environment; and
- Algorithm development and deployment of applications, including clean energy tools, infographics webinars, videos, public presentations.

E. Intelligent efficiency and building energy systems networking

NYSERDA seeks proposers with a deep understanding of intelligent efficiency defined here to include gains in energy efficiency enabled by the new responsive, adaptive and predictive capabilities of information and communications technologies.³ Proposers must demonstrate:

- Expertise in building energy systems, system integration across technologies within a building, and the subsequent enablement and deployment of that building as a distributed energy resource.
- Expertise beyond individual emerging technologies, focusing on the challenges and opportunities associated with the broader deployment of intelligent efficiency and smart buildings as distributed energy resources (DERs); and
- Experience assessing and addressing technology, market, customer, and supply-chain hurdles associated with system integration and smart building adoption.

Proposers must have experience applying those learnings to innovative strategy designs, enabling market tools and resources, and working with key stakeholders to support and encourage adoption. Strategies will initially focus on the commercial and industrial spaces, but initiatives will be deployed across sectors and buildings. Potential solutions could include, but are not limited to, promoting the wider deployment of smart device systems, smart-grid building energy management, or distributed energy resource management systems (DERMS); testing and overcoming adoption barriers for enabling technologies such as digital and remote M&V, digital ledgers for exchange of energy/storage attributes, or smart contracts; as well as the assessment and promotion of new business models, such as “as-a-service” contract offerings or energy service agreements, that can encourage the wider adoption of these solutions.

V. Processes and Procedures

A. Funding and Schedule

Funding may be committed over an initial term of two years for services provided through Umbrella Agreements (see Attachment A—Sample Agreement) resulting from this RFQL. The contract term may be extended through options to renew (subject to NYSERDA discretion), up to five years in total. NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available. Agreements will be negotiated soon after the notification of selection is delivered to successful proposers.

B. Services Requested

As a result of this RFQL, NYSERDA expects to retain multiple, qualified contractors to provide a variety of services in the categories and subcategories outlined above. The number and type of services requested from the selected contractors will depend on the nature and complexity of the project, the contractor's expertise, NYSERDA's need for services, and performance.

NYSERDA encourages all firms that can demonstrate the qualifications and skill sets described within this solicitation to propose, regardless of whether or not they have energy industry-specific experience. Proposers are permitted, but not required, to team with partners (subcontractors) they consider would offer complementary expertise in any of the above-mentioned categories or subcategories.

C. Umbrella Agreements

A pool of contractors that demonstrates market and technical merit will be selected through this RFQL. NYSERDA envisions contracting with individual firms but will entertain teaming or subcontracting arrangements; however, proposers cannot charge more than two percent overhead for work done by a subcontractor. NYSERDA will enter into zero-dollar value Umbrella Agreements with the top-ranked proposers in each category, enabling NYSERDA to retain their services. This Umbrella Agreement will not guarantee any specific amount of work. The amount of

³ Rogers, E., and E. Junga. 2017. *Intelligent Efficiency Technology and Market Assessment*. Washington, DC: ACEEE. [aceee.org/research-report/ie1701](https://www.aceee.org/research-report/ie1701).

work assigned to each contractor will depend on NYSERDA's needs, the 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. If multiple contractors are selected with overlapping areas of expertise, NYSERDA may also ask selected contractors for proposals and bids on specific assignments.

Selected contractors will support NYSERDA's activities associated with this RFQL through an initial two-year term, followed by a potential two-year option to renew and a subsequent one-year option to renew (renewals are subject to NYSERDA discretion).

D. Task Work Order Requests and Plans

Projects will be assigned through a written Task Work Order Request and initiated through a Task Work Order Plan, which will become a binding agreement for all parties. NYSERDA Project Managers will pursue either of the following options: (1) issue a Task Work Order Request to the highest ranked contractor under a specified category, or (2) issue a mini-bid request to all contractors or, for some instances, only national laboratories retained under a specified category or subcategory. Under Option 1, if the response from the top ranked contractor is considered satisfactory, a written Task Work Order Plan will be completed. If considered unsatisfactory, NYSERDA retains the option of reissuing the Task Work Order Request as a mini-bid, as described in Option 2. For Option 2, NYSERDA will issue the mini-bid request to the relevant contractors. Under both a request to the top ranked contractor and in the mini-bid process, respondents shall provide a detailed response to the request, including staffing, hours, budget, and scope of work.

Once a contractor has been selected for a project as per the above process, a Task Work Order Plan will be prepared by the contractor in cooperation with NYSERDA. Task Work Order Plans shall include:

- The goals and objectives of the project;
- The strategy and approach outlined by tasks;
- Any relevant background information;
- Defined deliverables;
- The project time frame;
- The names and titles of individuals to work on the project;
- The total not-to-exceed cost of the project, including a breakout by task and by title, hourly rate, hours, and non-labor costs; and
- The identification of measures to assess project success.

The details of any Task Work Order Plan will be consistent with the level of complexity of the proposed project or activity. Hourly rates shall be those established in the general Umbrella Agreement. The Task Work Order Plan for most projects is expected to be approximately one to five pages, depending on the complexity of each project. NYSERDA must review and approve all Task Work Order Plans and incorporate as a Task Work Order under the Umbrella Agreement, before projects are implemented.

Depending on the nature of the work product that is developed or results from any particular Task Work Order with NYSERDA, contractors may be required to execute a non-disclosure agreement prior to engaging in the specified work effort.

E. Contractor Responsibilities

If and when selected for a project, the selected contractor shall be required to:

- Prepare a Task Work Order Plan, with budget, for each project for review and approval by NYSERDA;
- Negotiate the scope and cost of the work with NYSERDA;
- Upon agreement by all parties to the final Task Work Order, provide the required assistance within the

- required time frame;
- Submit any deliverables to NYSERDA for review and approval; NYSERDA's review will ensure that the deliverable conforms to the Task Work Order; and
- Provide required documentation of expenditures by task, based on the Task Work Order, when seeking reimbursement from NYSERDA.

F. Compensation

Compensation will be based on the contractor's – and subcontractors, as applicable – fully-burdened hourly rates (included in the proposal) plus allowable expenses. NYSERDA will negotiate each Umbrella Agreement on the basis of demonstrated competence and qualifications, at fair and reasonable fees. Fee schedules shall be included in each proposal that identify rates for each member of the team by title. Proposers are asked to consider the length of the Agreement (two years) when proposing their fee schedules, which will be fixed for the duration of the two-year contract period. Should the Agreement be extended after the initial two-year contract period, rates may not escalate by more than 3% in each additional year. Please note: proposers cannot charge more than two percent overhead for work done by a subcontractor

Budgets for all work conducted will be included in the Task Work Order and approved by NYSERDA. The Task Work Order will also place a ceiling or not-to-exceed amount for each project. Contractors who accrue billable hours beyond the ceiling in the Task Work Order, without approval in writing by NYSERDA, will do so at their own risk. **Contractors will not be compensated for time spent in the preparation of any Task Work Order Plan.** Preparation of the Task Work Order Plan is considered to be covered by the contractor's overhead expense.

VI. Proposal Requirements

Proposers are invited to submit a proposal for any or all of the categories or subcategories. Proposers must submit separate proposals for each category or applicable subcategory to which they apply.

A. Submittal

To be eligible for selection under this RFQL, Proposers must submit a complete bid package and agree to the requirements of this RFQL. **Each category or applicable subcategory requires a separate proposal submission. Proposers are encouraged to allot at least 60 minutes to enter/submit each proposal.**

B. Length

Proposals should not be excessively long or submitted in an elaborate format. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, RFQL 3711, the page number, and category and subcategory letter/number to which it applies. The font size shall not be smaller than 11 points.

C. Ownership and Compensation

All responses submitted as part of this solicitation process become the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals.

D. Proposal Format

Each proposal shall contain, at a minimum, the following:

1. Cover Letter(s) (1 page suggested)

Proposers shall submit a cover letter on company letterhead that:

- References RFQL 3711.
- Specifies each specific Category (and/or Subcategory), by name and number, where services are being offered.
- Summarizes the proposer's ability to perform such services.
- Is signed by a person with authority to enter into a contract with NYSERDA.

Letters from subcontractors included in the proposal must be attached to the proposal and include the same information included in the proposer's cover letter.

2. Table of Contents (1 page)

Proposers should present a comprehensive table of contents that outlines the page number and section where each section can be found.

3. Category Proposal(s)

Proposals will be evaluated independently for each Category and Subcategory. Each Category (or Subcategory) section must include the following subsections:

(a) Breadth and depth of experience performing services in the category (2-5 pages)

Proposers should describe the breadth and depth of their experience as it relates to the needs of the category, including, but not limited to strategic, analytical, technical, market, and policy/program design experience. Describe the experience as a team/firm to deliver services in the proposed Category, focusing on how identified efforts made a difference, including the extent of impact and influence achieved. This description should include the aggregate number of years working in this Category and a brief summary of at least two, and no more than three, projects related to this category. The project descriptions should specify the level of involvement of the proposing firm and subcontractors and the results/deliverables of the project. For at least one of the projects mentioned, proposers must include an example of a recent solution or success related to the category with references, including customer contact name, email, and phone number.

(b) Market awareness and insights of opportunities and challenges in the category (2-5 pages)

Describe the key challenges and opportunities, both technical and market-based, facing the category in the short, medium, and long term. Focus on similarities and differences between New York and the market at large. Include potential solutions that could be deployed by NYSERDA through the Clean Energy Fund, either through individual programs or across the portfolio. Please include references to recently published abstracts from articles, white papers, or presentations from the proposer (or subcontractor) specifically addressing issues related to this category as an Attachment.

(c) Quality of expertise, including depth of personnel and qualifications (1 page; résumés provided as an Attachment)

Describe the expertise and abilities of the individuals comprising the proposing team relevant to the Category. Reference one-page résumés (provided as an attachment) that highlight recent experiences of all individuals who will be directly involved in providing services. Identify all staff members, teams, and subcontractors that are to be involved in providing services in the Category, with descriptions of qualifications. Describe past working relationships among team members and subcontractors. Include an organizational chart, if necessary. Proposers must identify the project manager who will serve as the single point-of-contact under this RFQL.

(d) Capabilities to meet category needs (1 page)

Describe the specific capabilities and resources available to your firm in addressing the needs of this category. Include a summary of specialized technical and information solutions available for support, such as identifying of thought leaders, critical research findings, industry trends, and if applicable to the category, supply chain mapping insights and describe how these will be used to inform and support the objectives of the category. Provide any information related to access or ownership of any information resources, including databases, modeling program software, research tools, etc. Please

note any tools or resources that would need to be purchased (and the total cost) to adequately meet the needs of the category. Focus on any unique market differentiators that your firm can provide working in this space.

4. **Conflicts:** The firm, its principals, subcontractors, and any personnel of the firm must be free from any financial or similar interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA. Please describe all of your product, manufacturer or service-related affiliations. If any affiliations exist, you must provide a statement verifying these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA and its customers. Non-disclosure of any affiliation can result in the termination of a contract, if awarded.

5. **Cost Proposal – Project Personnel and Rate Form (1 page)**

Proposers must provide a Project Personnel and Rates form (Attachment B) and submit the name, job title, and fully-burdened hourly salary range for each individual in the proposal and all subcontractors who will perform the work under an Agreement with NYSERDA.

NYSERDA is not requiring proposers to estimate travel or other direct costs as part of proposals, but reasonable costs for these may be part of TWOs on an as needed basis. NYSERDA will not reimburse the purchase or rental of measurement tools and equipment. NYSERDA envisions contracting with individual firms but will entertain teaming or sub-contracting arrangements; however, proposers cannot charge more than two percent overhead for work done by a sub-contractor.

6. **Résumés** (Provide as an Attachment)

Include one-page résumés that highlight recent experiences of all individuals (proposer 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 category or subcategory they will be directly involved with. Individual résumés shall not exceed one (1) page each.

VII. Proposal Evaluation

Proposals that meet submission requirements will be reviewed by a Scoring Committee consisting of NYSERDA staff and selected outside reviewers. Responses to this RFQL will be reviewed and assigned scores based on the criteria highlighted below **in order of importance**. As part of the evaluation process, proposers may be required to have appropriate representatives participate in an interview in Albany, NY or New York, NY prior to final selection.

A. Breadth and Depth – Experience, capabilities, and qualifications to perform services in the Category, assessed on the basis of:

- Qualifications and expertise of the personnel/team, including, but not limited to strategic, analytical, technical, market and policy/program design experience;
- Previous experience in the conduct and delivery of similar or related services;
- Extent of impact and influence achieved through previous initiatives and activities;
- Quality and relevance of previous work as evidenced by sample projects; and
- Information provided by references, including examples of recent solutions and/or successes as it relates to the category.

B. Market Awareness and Insights – Understanding of opportunities and challenges in the category, assessed on the basis of:

- Understanding the challenges and/or barriers related to the category;
- Identification of any opportunities or value propositions to help NYSERDA achieve success in the category and advance the goals of the State Energy Plan/Clean Energy Fund/REV, such as reducing greenhouse gas emissions;
- Insights on similarities and differences between New York and the market at large; and
- Any market insights or research that informs and supports the objectives of the category, such as identifying thought leaders, critical research findings, industry trends, and if applicable to the category, supply chain mapping insights with a brief description of how these will inform and support the objectives of the category.

C. Quality of Expertise – Personnel and qualifications, assessed on the basis of:

- Adequacy/depth of corporate resources to provide requested services;
- Demonstrated ability to complete projects on schedule; and
- Staff and their roles are clearly identified, including the roles of any sub-contractors.

D. Cost Structure – Reasonableness of fully-burdened labor rates and associated fees, assessed on the basis of:

- The degree to which pricing and hourly rates are in line with the rest of the market;
- Overall reasonableness of fully-burdened labor rates and fees;
- Consistency of rates compared to expertise, qualifications, etc.; and
- Minimizing travel costs for proposers or sub-contractors outside New York State.

E. Responsiveness – Capabilities to meet category needs, assessed on the basis of:

- Demonstration of resources necessary to fully meet the category needs,
 - Access or ownership to any information resources, including databases, energy modeling software, research tools, etc.;
- Services and support for category needs are clearly listed;
- Content and response to category needs is well-organized and adheres to the RFQL proposal guidelines; and
- A complete, comprehensive, and effective response to the category needs is provided, including overall clarity and organization of the proposal.

F. Other Considerations, assessed on the basis of:

- Past experiences as a contractor, distinguishing notable position in industry, or accomplishments on projects;
- Demonstration of specialized or unique capabilities; and
- Proposer has New York-based office(s).

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.
- Whether the qualifications and expertise of the proposers will help accelerate transformational technology advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty
- Whether the qualifications and expertise of the proposers will advance the goals of the State Energy Plan / Clean Energy Fund / REV. The State Energy Plan / Clean Energy Fund / REV goals include improving resilience and reducing greenhouse gas emissions.
- The degree to which there is breadth and significant potential impact of technology development, including whether the qualifications and expertise of the proposers can help accelerate transformational technological advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty.

- The degree to which there are technical, market, organizational and/or environmental risks associated with the proposer(s)
- The degree to which there is portfolio diversity associated with time to market and / or development of pipeline
- The degree to which the proposer directly addresses NYSERDA's mission and strategic goals
- The degree to which the proposer has the resources (human and financial) to be able to complete the project

VIII. GENERAL CONDITIONS

Government Entity Accessibility – The following government entities may access the selected vendors that result from this RFQL to provide services consistent with the scopes as identified in this RFQL, as long as that entity determines that this procurement met its own internal procurement requirements:

- 1) Any state agency, authority, or other state entity under the Governor's authority;
- 2) Any other branch of government or other political subdivision of New York State not under the Executive authority of the Governor;
- 3) Any local government or other municipal government entity, such as but not limited to:
 - a. Counties,
 - b. cities,
 - c. towns,
 - d. villages
 - e. hamlets
 - f. water or electric districts
 - g. fire districts
 - h. library districts

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

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

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

Empire State Development
Division For Small Business

625 Broadway
Albany, NY 12207

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

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

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of standard two (2) year initial term, with two, two-year options to renew at NYSERDA's discretion, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal 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 A) to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately eight to ten weeks from the proposal due date whether your proposal was selected. 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 (Attachment A). 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.

IX. Attachments

Attachment A – Sample Agreement

Attachment B – Project Personnel and Rates Form



ANDREW M. CUOMO
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

Charge Ready NY Equipment and Network Qualification Process Request for Qualifications (RFQL) 3902

Applications accepted through December 31, 2021 by 3:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is issuing this RFQL solicitation to establish a list of qualified Level 2 electric vehicle (EV) charging equipment and networks that will be eligible for incentives under the upcoming Charge Ready NY Program (Program). Under the Program, interested site owners will be able to receive incentives for the installation of qualified charging equipment. Charging station vendors will submit applications to qualify one or more models of charging equipment. Charging network operators will submit applications to have information about their network, and which charging equipment it is compatible with, listed as part of program materials. Information about approved equipment models and network solutions will be listed on the NYSERDA webpage for prospective charging station owners to view. Qualifying equipment must meet the program requirements described below.

Submissions will be accepted on a rolling basis until December 31, 2021 or until the Program closes. Vendors may submit applications for as many different equipment models or network solutions as they choose.

Application Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](#) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting David McCabe (Designated Contact) at (518) 862-1090, ext. 3281 or by e-mail david.mccabe@nyserdera.ny.gov or Adam Ruder (Designated Contact) at (518) 862-1090, ext. 3411 or by e-mail adam.ruder@nyserdera.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@nyserdera.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** All applications must be received by 3pm Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been completed/included in the application. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit applications. The online application system closes promptly at 3pm, files in process or attempted edits or submission after 5pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

As part of his Charge NY 2.0 initiative, announced in January 2018, Governor Andrew M. Cuomo set a goal of having 10,000 EV charging stations operational in New York State by 2021, a five-fold increase over the current 2,000 charging stations in operation. NYSERDA seeks to accelerate charging station installations and adoption by offering incentives to entities that purchase and install charging stations at publicly accessible parking facilities, workplaces, and multifamily buildings. This incentive program, the Charge Ready NY Program (Program), will launch in 2018, and will initially focus exclusively on the purchase and installation of AC Level 2 charging stations, which supply power to EVs at 208 to 240 Volts AC, at the above types of locations. It does not cover the purchase and installation of private home-use charging stations. NYSERDA may offer future programs focused on DC fast chargers as well.

To facilitate the operation of this program and to help simplify the purchasing process for prospective station owners, NYSERDA is issuing this solicitation to establish a list of qualified Level 2 EV charging equipment and networks that will be eligible for incentives under the Program. Charging station vendors can submit applications to qualify one or more models of charging equipment. Charging network operators can submit applications to have information about their network, and which charging equipment it is compatible with, listed as part of the program materials. Information about approved equipment models and network solutions will be listed on the NYSERDA webpage for prospective charging station owners to view. Qualifying equipment must meet the program requirements described below.

NYSERDA intends to also offer an opportunity for prospective station owners to submit information about their site and express interest in being contacted by charging station vendors. Qualified vendors will be able to receive information about prospective station owners who choose to share their contact information.

Submissions will be accepted on a rolling basis until December 31, 2021 or until the Program closes. Vendors may submit as many different equipment models or network solutions as they choose.

II. Program Requirements

Eligible charging equipment must meet the following requirements:

All Charging Equipment

- The equipment must be a charging system intended to provide AC power to an electric vehicle equipped with an onboard charger unit. Wireless charging equipment may provide DC power directly to an electric vehicle.
- The equipment must be intended to be supplied by a branch circuit of up to 600 volts.
- The equipment must have a rated power of 7.2kW (30A) or higher
- The equipment must be intended for installation following the National Electric Code (ANSI/NFPA 70) and be indoor/outdoor rated.
- The equipment must be new and designed to pass inspection according to the National Electrical Code, Article 625. The equipment must be certified by a National Recognized Testing Laboratory (for example, UL category FFWA).

- Both single and dual charging stations are eligible. Single charging stations are stations that have a single charging port originating from a single pedestal, pole-mount, or wall-mount; dual charging stations are stations that have two charging ports originating from a single pedestal, pole-mount or wall-mount. For program purposes, single charging stations will be eligible for an incentive payment for one charging port and dual charging stations will be eligible for an incentive payment for two charging ports.
- Publicly accessible stations and workplace charging stations must be networked stations. Stations for multifamily dwellings may be networked or non-networked.
- Networked equipment must be capable of collecting data on electricity dispensed and number of charging events from each port and providing this information directly to NYSEERDA, either through automated recurring emails or through password-protected access to station management software that allows NYSEERDA limited administrative access to energy use reports.
- Equipment must use no more than 10 Watts of power per port when not connected to a vehicle.
- Equipment to be installed in public-access sites must be able to provide charging to any driver, regardless of whether they are a network member. If payment is required, the equipment must accept payment by credit card, although it may also accept payment through other methods. These requirements do not apply to equipment to be installed in workplaces or multifamily buildings, which may restrict access to employees or residents.
- Charging equipment and all accessories must be backed with a warranty of 24 months or longer. The warranty period should start the day that the equipment is installed and ready for use.
- Applicants must complete a Charging Equipment Qualification Worksheet (**Attachment A**), listing each separate model on its own row of the workbook.

Wired Charging Equipment

- Wired equipment should include only connectors that are SAE-J1772 standard compliant
- Wired equipment should include a cable management system:
 - The charging equipment must include a holster or similar feature for the connector to protect the connector from the elements and help keep it off the ground. If connector holsters or similar features are not integrated as part of the equipment, they must be offered as accessories.
 - Either as an integrated feature of the equipment or as an accessory, charging equipment must include a cable management system that helps keep the cable off the ground, such as a cable retraction system or cable cradle.

Wireless Charging Equipment

- NYSEERDA intends to include commercially available wireless power transfer (WPT) systems in the program once there is a valid Underwriters Laboratory (UL) or similar approval for these systems to be installed in public settings and at least one wireless charging equipment has been approved for public installation.

The following elements are recommended, but not currently required. NYSEERDA intends to make them a requirement at a future date, as described below.

- It is recommended that networked equipment use an open standard protocol as a basic framework for purposes of network interoperability and communication with back-end network services providers. The most common open protocol is Open Charge Point Protocol (OCPP). Vendors will be asked whether their system uses an open standard protocol. As of program launch, this is not a required element, but may become a required element when NYSEERDA is better able to confirm equipment compliance with open standard protocols.
- It is recommended that charging equipment meet Energy Star certification standards. As of program launch, only two manufacturers' equipment has been certified to meet the standards. At the earlier of a) such a date that five or more manufacturers' equipment has been certified to meet Energy Star standards, or b) October 1, 2019, NYSEERDA will begin requiring that all equipment be Energy Star certified.

Eligible charging network applicants must meet the following requirements:

- Charging networks must be able to operate on one or more models of eligible charging station equipment.
- Charging networks must allow equipment owners to set pricing for their stations, accept payment for use via credit card (accepting multiple forms of payment is encouraged), and provide data to equipment owners on station electricity dispensed and number of charging events.
- Charging networks must be able to provide access to charging station data to NYSERDA directly, with the equipment owner/network customer's permission.
- Charging networks must provide an OpenADR 2.0 Virtual End Node (VEN) for utility demand response integration, unless the equipment is not tied to the electric grid (such as some solar PV-powered charging equipment).
- Applicants must complete a Charging Network Qualification Worksheet (**Attachment B**).

Any charging equipment manufacturer or charging network provider is eligible to apply for the appropriate qualification. Charging equipment manufacturers should list authorized New York State distributors and third-party vendors of their equipment for New York State, including contact information, in Attachment A. Applicants should include themselves in this list if they sell their equipment directly to end users. Potential equipment purchasers will be encouraged to contact the vendors and installers listed to obtain complete quotes. NYSERDA will list these entities on its website to help direct potential purchasers to appropriate purchasing channels.

III. Application Requirements

Applicants should submit completed applications according to NYSERDA's proposal submission procedures outlined on the cover page of the RFQL. The following documentation is required to be submitted as part of a complete application:

- Charging Equipment Applications:
 - Charging Equipment Qualification Worksheet (**Attachment A**)
 - Cut sheet for each model of charging equipment
- Charging Network Applications:
 - Charging Network Qualification Worksheet (**Attachment B**)
- Charging Equipment and Charging Network Applicants must include **Attachment C**: Equipment and/or Network Service Provider Terms and Conditions form

Vendors may include multiple models or types of equipment/networks in a single worksheet, listing each on its own column of the worksheet. Equipment applicants must also submit a cut sheet for each model of charging equipment they are applying to qualify for the Program. Applicants may also submit lists of distributors in New York State, including contact information and counties served (if applicable) for each.

Applications will be reviewed for compliance with all program requirements listed in Section II. If NYSERDA has questions about whether equipment meets a particular requirement, it will contact the applicant for more information. Equipment and networks that do not meet all requirements will not be eligible for inclusion in the Program.

Applications will be accepted and reviewed on a rolling basis. Applicants will be notified within 30 days whether their equipment or network application has been accepted, if NYSERDA requires further information, or if the application has been denied. If it denies an application, NYSERDA will indicate the requirements that were not satisfactorily met. Applicants whose equipment or network applications are denied may resubmit applications with updated information that demonstrates that the deficient requirements have been met.

Applicants wishing to update the information about qualified equipment that has previously been accepted as qualified by NYSERDA (for instance, if a new model replaces an older version) must submit a new application indicating that it is an update to a prior accepted application and must provide all required

documentation for the new equipment. Information about each model may not be updated more than once every three months.

IV. GENERAL CONDITIONS

GENERAL CONDITIONS

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

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

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

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

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

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

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

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

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

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

V. Attachments:

Attachment A – Charging Equipment Qualification Worksheet

Attachment B – Charging Network Qualification Worksheet

Attachment C – Equipment and/or Network Service Provider Terms and Conditions



NY Green Bank
A Division of NYSERDA

NY Green Bank

Financing Arrangements for Energy Storage Projects in New York State

Request for Information

Responses Due:
December 31, 2018 by 5:00 p.m. EST

1 Introduction

As part of the State of the State address in January 2018, Governor Andrew M. Cuomo announced a target of 1,500 MW of energy storage installed and operating in New York State (“**NYS**”) by 2025.¹ As the largest per capita target of its kind by any state, the “1,500 by 2025” target both echoes and reinforces New York’s prior leadership commitments in connection with clean energy, resiliency and climate change mitigation. As part of the State of the State storage initiative, Governor Cuomo announced that NY Green Bank (“**NYGB**”) will invest at least \$200 million in energy storage financing.

On June 21, 2018, the New York State Energy Research and Development Authority (“**NYSERDA**”) and the NYS Department of Public Service (“**DPS**”) released the NYS Energy Storage Roadmap, which identifies the most promising near-term policies, regulations, and initiatives needed to realize New York’s 2025 energy storage target.

Although energy storage market participants are invited to propose transactions through NYGB’s open solicitation, *Request for Proposals (“RFP”) 1: Clean Energy Financing Arrangements*, NYGB developed this *Request for Information (“RFI”) 4: Financing Arrangements for Energy Storage Projects in New York State* in conjunction with the release of the NYS Energy Storage Roadmap to invite market participants to initiate or further engage in conversations with NYGB.

2 RFI Objective

The objective of this RFI is to increase dialogue with energy storage developers and other market participants regarding specific ways in which NYGB can be helpful in financing energy storage projects in NYS by addressing existing market barriers and financing gaps that could impede project development. NYGB seeks to identify and work with stakeholders expecting to participate in the NYS storage market such that NYGB is prepared to provide financing in a manner most impactful to market participants as project demand and activity accelerates. In this regard, respondents will be invited to participate in conversations with NYGB in the form of one-on-one meetings and/or broader stakeholder convenings.

The focus of these conversations will be to: (a) inform NYGB of your current or future business models, objectives, and resulting investment opportunities, and (b) discuss ways in which NYGB may support such objectives.

NYGB will use the information received in response to this RFI to develop standardized, creditworthy financing approaches for energy storage projects or portfolios of projects. Stakeholders from the development community, financing community, and contractors/service providers who expect to deploy energy storage assets in NYS are encouraged to respond.

3 Content of Responses

To respond to this RFI, please complete the questionnaire in [Attachment A](#).

Responses are due to NYGB by **5.00 p.m. EST** on December 31, 2018 and should be submitted by email to solicitations@greenbank.ny.gov. Please include “RFI No. 4” in the subject line.

Our expectation is that NYGB will engage in one-on-one conversations and broader convenings with industry participants to further the financing of this integral asset class in New York State. Respondents should contact info@greenbank.ny.gov with any questions about the RFI.

¹ See: www.governor.ny.gov/news/governor-cuomo-unveils-20th-proposal-2018-state-state-new-yorks-clean-energy-jobs-and-climate

4 NYGB Background

NYGB is a division of NYSEERDA, 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").² The CEF is a \$5.3 billion commitment, and part of Governor 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 <https://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.

NYGB can be flexible in terms of transaction roles. NYGB can participate as a lender (e.g., senior, subordinated or mezzanine for term or revolving facilities) through many types of facilities. Examples of the types of facilities NYGB provides include: project equity, warehousing/aggregation facilities (with an expectation of being taken out by private sector third parties within prescribed time periods and upon certain events – e.g., the aggregation of an agreed upon amount of assets fitting certain credit and other parameters), construction and post-construction finance and a variety of credit enhancement products (e.g., guarantees of third party capital, letters of credit, etc.).

NYGB operates as a self-sustaining entity, pricing investments to cover its operating expenses and portfolio default risk, and to preserve its capital base. NYGB intends to serve as both a prudent custodian of ratepayer and other investor funds and an agent for greater private investment in the clean energy and sustainable infrastructure sector in NYS. Pricing will reflect the underlying transaction credit quality, risk, position in the capital structure, and the level of standardization and scale NYGB seeks to facilitate, with the goal of creating investments that private sector lenders will ultimately be willing to participate in 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.

More information about NYGB can be found at <https://greenbank.ny.gov/>.

5 General Conditions

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

² 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").

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.

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 any party 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.

Limitation. This RFI 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 response or to procure or contract for services or supplies. NYGB reserves the right to cancel in part or in its entirety this RFI when it is in NYGB's best interest.



NYSERDA

**Renewable Energy Standard
Purchase of New York Tier 1 Eligible Renewable
Energy Certificates
Request for Proposals (RFP) No. RESRFP18-1
RFP Release Date: April 25, 2018**

**Step One Resource Eligibility Submissions Due:
Wednesday, May 16, 2018 by 11:59 p.m. Eastern Time (ET)
Step Two Application for Qualification Packages Due:
Tuesday, June 12, 2018 by 11:59 p.m. ET***

**NYSERDA SEEKS TO ACQUIRE APPROXIMATELY 1.5 MILLION NEW YORK TIER 1
ELIGIBLE RENEWABLE ENERGY CERTIFICATES ANNUALLY**

The New York State Energy Research and Development Authority (NYSERDA) seeks to procure Tier 1 eligible Renewable Energy Certificates under the Renewable Energy Standard (RES), a component of the Clean Energy Standard (CES).

NYSERDA was created in 1975 by the New York State Legislature as a public benefit corporation. As designated in the Public Service Commission's (PSC) [Order Adopting a Clean Energy Standard](#), issued and effective August 1, 2016, NYSERDA acts as the Central Administrator of the RES program.

RESRFP18-1 will be implemented through a three-step process, consisting of:

1. Step One: A Resource Eligibility Determination step completed in the New York Generation Attribution Tracking System (NYGATS) through which the Tier 1 resource eligibility of the Bid Facility is determined, allowing participation in Step Two;
2. Step Two: An Application for Qualification step that will qualify Proposers to submit a Step Three Bid Proposal, based on demonstration that the Bid Facility meets certain threshold requirements; and
3. Step Three: A competitive Bid Proposal step.

Only those Proposers found eligible and qualified through the Step One and Two processes will be permitted to submit a Bid Proposal or otherwise participate in Step Three.

***Step One Resource Eligibility Determination:** Requests for Step One Resource Eligibility Determination submissions in NYGATS must be completed by **11:59 p.m. ET**

on Wednesday, May 16, 2018.¹ Through the Step One process, a determination will be made as to the Tier 1 resource eligibility of the Bid Facility, which will determine its eligibility to participate in Step Two.

Step Two Application for Qualification: NYSERDA will open the Step Two Application for Qualification process on Monday, April 30, 2018. Step Two Application for Qualification packages must be **received by NYSERDA by 11:59 p.m. ET on Tuesday, June 12, 2018 via electronic submission.**² NYSERDA staff will be available to support Proposer's inquiries through 5:00 p.m. on Tuesday, June 12, 2018. Proposals may be submitted electronically by following the link for electronic submissions found on [NYSERDA's Current Funding Opportunities website](#)³, located in the "Current Funding Opportunities" section of NYSERDA's website. Instructions for submitting electronically are provided by Attachment A to this RFP.

NYSERDA intends to notify all prospective Proposers as to their qualification status by Thursday, July 19, 2018. Qualified Proposers will receive a Notice of Qualification and will be provided detailed instructions for submitting a Step Three Bid Proposal at that time.

Step Three Bid Proposal: For Proposers found qualified to submit a Step Three Bid Proposal, Bid Proposals must be **received* by NYSERDA by 11:59 p.m. ET on Wednesday, August 15, 2018 via electronic submission.** Instructions for submitting electronically and the link for electronic submissions will be included in a Proposer's Notice of Qualification. Additional information regarding NYSERDA's Renewable Energy Solicitations are found on [NYSERDA's Renewable Energy Solicitations Standard \(RES\) Tier 1 website](#).⁴

***It is recommended that Proposers set aside ample time, well in advance of each deadline, to gather the required information and documentation and to understand the requirements to complete the above processes.**

Questions about this RFP should be directed to Doreen Harris, Abbey DeRocker, Marci Brunner, or Bram Peterson (the Designated Contacts) at res@nyserda.ny.gov (no phone calls). No communication intended to influence this procurement is permitted except by contacting the Designated Contacts. Contacting anyone other than the Designated Contacts (either directly by the Proposer or indirectly through a lobbyist or other person acting on the Proposer's behalf) to influence the procurement: (1) may

¹ See <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility/Certification>

² If you are unable to submit by electronic means, please contact a Designated Contact immediately.

³ <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>

⁴ <https://www.nyserda.ny.gov/ces/rfp>

result in a Proposer being deemed a non-responsive offeror, and (2) may result in the Proposer not receiving an award.

Incomplete proposals will be subject to disqualification. It is the Proposer's responsibility to ensure that all required forms and attachments have been completed and submitted. Late packages will not be accepted and those lacking the appropriate completed and signed Step Two Application for Qualification Form may be returned. **Faxed, mailed, or e-mailed packages will not be accepted.**⁵ Packages will not be accepted by hand delivery at any NYSERDA location.

If changes are made to this solicitation, notification will be posted on [NYSERDA's RES website](#) and provided to those that provide their email address to NYSERDA via [NYSERDA's RES Renewable Generators and Developers Email Sign-Up Page](#).⁶ Please check the website periodically, as well as immediately before submitting in Step Two or Step Three.

⁵ Unless otherwise agreed by NYSERDA. See footnote 2.

⁶ <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/Renewable-Generators-and-Developers-Email-List>

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I. BACKGROUND: THE NEW YORK STATE CLEAN ENERGY STANDARD AND RENEWABLE ENERGY STANDARD

On July 6, 2015, the New York State Energy Planning Board issued the 2015 State Energy Plan (SEP)⁷ which stated the goal achieve 50 percent of the State's electricity be generated from renewable resources by 2030 (50 by 30 goal). In December 2015, Governor Cuomo directed the Department of Public Service (DPS) to develop a Clean Energy Standard (CES)⁸ to help achieve the SEP goals.

The Public Service Commission's (PSC) [Order Adopting the Clean Energy Standard](#) issued on August 1, 2016, along with additional orders issued under Case 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard (Orders), established the Renewable Energy Standard (RES) as the State's principal means of achieving the 50 by 30 goal. A component of the RES consists of a Tier 1 obligation on load serving entities (LSE) to procure Renewable Energy Certificates⁹ (RECs) associated with new renewable energy resources.

The Orders authorize NYSERDA, as central procurement administrator, to offer long-term contracts to generators for the purchase of Tier 1-eligible RECs, in the form of Tier 1 NYGATS certificates. Pursuant to the Orders, NYSERDA seeks to accomplish the RES objective by contracting with suppliers, through a series of competitive RFPs, for the RES Tier 1 RECs created by eligible generation resources.¹⁰

Information regarding current NYSERDA's implementation of the RES can be found on [NYSERDA's CES website](#).¹¹

⁷ 2015 New York State Energy Plan is available from <http://energyplan.ny.gov/>

⁸ Letter from Governor Andrew M. Cuomo to Audrey Zibelman, Chair, New York State Department of Public Service, December 2, 2105 (Cuomo Letter) available at https://www.governor.ny.gov/sites/governor.ny.gov/files/atoms/files/Renewable_Energy_Letter.pdf

⁹ While the PSC's August 1, 2016 Order references renewable energy "credits," NYGATS creates renewable energy certificates, and therefore that term is used in this RFP. The NYGATS certificates are created in one MWh denominations and are in all other ways consistent with the Order.

¹⁰ Directives pertaining to NYSERDA's RES Central Procurement role are contained in the November 17, 2017 [Order Approving Phase 2 Implementation Plan](#) and the [Phase 2 Implementation Plan](#) filed by NYSERDA on December 18, 2017, the February 22, 2017 [Order Approving Phase I Implementation Plan](#) and the [Final Phase I Implementation Plan](#) filed by NYSERDA on March 24, 2017. The March 9, 2017 [Order on the Value of Distributed Energy Resources](#) further clarifies the treatment of certain distributed energy resources (DERs) such resources under the CES and their eligibility to participate in NYSERDA's long term procurements for RECs.

¹¹ <https://www.nyserda.ny.gov/Clean-Energy-Standard/>

Information regarding NYSERDA's first solicitation under the RES, RESRFP17-1, can be found on [NYSERDA's 2017 Solicitation website](#).¹²

Information on the Renewable Portfolio Standard (RPS), the precursor to the CES, and past Main Tier solicitations can be found on [NYSERDA's website](#).¹³

The CES/RES Orders can be accessed from the [NYS Public Service Commission's website](#).¹⁴ All Proposers are strongly advised to review the Orders before participating in this RFP.

CAPITALIZED TERMS AND ABBREVIATIONS USED IN THIS RFP ARE DEFINED IN ARTICLE I OF THE [RES STANDARD FORM AGREEMENT](#) (Attachment H).

II. NOTIFICATION of RFP CHANGES

Notification of any changes in RFP process or documents will be posted on [NYSERDA's RES Tier 1 website](#) and sent via email to those parties who have submitted contact information to [NYSERDA's Renewable Generators and Developers sign-up website](#).

III. PROPOSERS WEBINAR & INQUIRIES

NYSERDA will hold a webinar for Proposers on **Wednesday, May 2, 2018 at 1:00 p.m. ET** (Albany, NY time). On the webinar, NYSERDA will review the Step One Resource Eligibility Determination, Step Two Application for Qualification, the Step Three Bid Proposal requirements, and the RES Standard Form Agreement. Questions will be taken and, to the extent possible, responses will be provided during the webinar. **Proposers who intend to participate must register by 12:00 noon Tuesday, May 1, 2018 on [NYSERDA's website](#).**¹⁵

Respondents will be provided with webinar credentials. All prospective Proposers are strongly encouraged to participate in the webinar.

Proposers are encouraged to submit questions prior to the webinar via the email address res@nyserda.ny.gov with the subject line "**RES Procurement Question.**" Written questions can be submitted at any time, but must be received before **5 p.m. on Friday, May 4, 2018** to be included in NYSERDA's response indicated below. The written responses will supersede any responses given by NYSERDA during the Proposer's webinar. All questions regarding the RFP documents or the process MUST

¹² <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility/Solicitations-for-Long-term-Contracts/2017-Solicitation>

¹³ <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Portfolio-Standard/Past-Main-Tier-Solicitations>

¹⁴ <http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=15-e-0302>

¹⁵ To register for the Proposers' Webinar please visit <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=e283cfd7b44f8d451cf4faac4c5758459>

be directed as indicated. Questions may not be submitted directly to any individual at NYSERDA, DPS Staff, or to individuals working for or on behalf of NYSERDA.

NYSERDA will post questions anonymously, along with NYSERDA's responses, on [NYSERDA's RES Tier 1 website](#), on or about Friday, May 11, 2018.

IV. SCHEDULE

The schedule for this RFP is as follows (all times ET):

RFP Release Date	Wednesday, April 25, 2018
NYSERDA opens Step Two Application for Qualification	Monday, April 30, 2018
Proposers' Webinar	Wednesday, May 2, 2018
Deadline – Submit written questions	Friday, May 4, 2018
Responses to written questions posted on NYSERDA's website	Friday, May 11, 2018
Deadline – Step One Resource Eligibility Determination submission	Wednesday, May 16, 2018
NYSERDA responds with Step One Resource Eligibility Determination	Friday, June 1, 2018
Deadline – Step Two Application for Qualification submission	Tuesday, June 12, 2018
NYSERDA responds with Step Two Application for Qualification determinations	Thursday, July 19, 2018
Deadline – Step Three Bid Proposal submission	Wednesday, August 15, 2018
Deadline – Withdraw a Bid Proposal with refund of Bid Deposit ¹⁶	Monday, October 1, 2018
NYSERDA notifies Proposers receiving awards	October 2018

Please note that the above dates are subject to change. Notification of any changes to the RFP process or documents will be posted on [NYSERDA's RES website](#) and sent via email to those parties who have submitted contact information to [NYSERDA's Renewable Generators and Developers website](#).

V. PARTICIPATING IN THIS RFP

NYSERDA has designed this solicitation as a three-step process, consisting of:

- 1) Step One: A Resource Eligibility Determination step completed in NYGATS through which the Tier 1 resource eligibility of the Bid Facility is determined, allowing participation in Step Two;

¹⁶ NYSERDA will refund the Bid Deposit to Proposers who withdraw their Bid Proposal(s) on or before October 1, 2018.

- 2) Step Two: An Application for Qualification step that will qualify Proposers to submit a Step Three Bid Proposal, based on demonstration that the Bid Facility meets certain threshold requirements; and
- 3) Step Three: A competitive Bid Proposal step.

STEP ONE – RESOURCE ELIGIBILITY DETERMINATION

VI. STEP ONE RESOURCE ELIGIBILITY DETERMINATION

To participate in this RFP each Bid Facility must possess a determination from NYSERDA that it is a Tier 1 RES eligible resource technology type under [Appendix A](#) of the [Order Adopting the Clean Energy Standard](#). Pursuant to the Order, to participate in this RFP an eligible Bid Facility must also: (1) be located within the New York Control Area or in an adjacent control area and supply energy into New York State, in accordance with the RES Delivery Requirements in this RFP, and (2) have first commenced Commercial Operation on or after January 1, 2015, or (3) must produce new, incremental energy and Tier 1 RECs from new Bid Capacity above a historical baseline.

Resource Eligibility Determination requests are completed in NYGATS. To complete a Step One request, Proposers must create a NYGATS account, complete a project registration for the Bid Facility, and once the registration is approved, complete an application requesting either Operational Certification (for which a Bid Facility may receive a Statement of Qualification “SoQ”) (for facilities in operation at the time of request) or Provisional Certification (for which a Bid Facility may receive a Provisional Statement of Qualification “PSoQ”) (for facilities not yet in operation). The SoQ/PSoQ certifies that a Bid Facility has met or will meet the eligibility requirements under Tier 1 of the RES.¹⁷ NYSERDA will notify the Proposer of its eligibility determination by posting a letter in the Proposer’s NYGATS account associated with the Bid Facility.

For consideration in RESRFP18-1, **Proposers must complete a Resource Eligibility Determination submission by 11:59 p.m. ET on Wednesday, May 16, 2018** to allow NYSERDA to grant or deny an SoQ or PSoQ by 5 p.m. Friday, June 1, 2018.

For a Bid Facility with an existing SoQ or PSoQ, the Step Two Application for Qualification for the Bid Facility submitted under this RESRFP18-1 must be consistent with the existing SoQ or PSoQ. Some resource changes, for example a change in the Technology Type, Nameplate Capacity, In-Service Date, Control System Operator, New York Independent System Operator (NYISO) Zone, Electric Utility Company, Tariff Type, Vintage Type, Bid Facility address or other key project components will require Proposers to submit either (1) an SoQ or PSoQ revision, or (2) request a new SoQ or PSoQ. NYSERDA will work with the Proposer to rectify any discrepancies. If assistance is needed please contact res@nyserda.ny.gov with a subject line “SoQ/PSoQ Assistance.”

¹⁷ See <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility/Certification>

A Bid Facility must have a valid NYGATS ID and an SoQ or PSoQ to participate in Step Two.

More information on the Resource Eligibility Determination process, including guidelines for documenting eligibility for certification, including the eligibility of distributed energy resources, upgrades, relocated facilities and facilities returning to service can be found on [NYSERDA's RES Tier 1 Eligibility website](#).¹⁸ Training materials for using NYGATS to apply for an eligibility determination may be found on the [NYGATS website](#).¹⁹

Eligibility Limitations

Tier 1 eligible RECs or environmental attributes that are the subject of a current NYSERDA RES contract, or that were the subject of an award under a previous NYSERDA RES or RPS Main Tier solicitation are not eligible under this RFP.

Subsequent Tier 1 Eligibility Changes

Bid Facilities selected for an award under this RFP will not be subject to subsequent changes in RES eligibility rules; however, if the Bid Facility fails to maintain eligibility consistent with the RES requirements as they existed on the RFP Release Date,²⁰ such ineligibility will extend to the RECs associated with the Bid Facility's production throughout the entire period in which the Bid Facility fails to maintain eligibility.

¹⁸ <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility/Eligibility>

¹⁹ <https://www.nyserda.ny.gov/All-Programs/Programs/NYGATS>

²⁰ Refer to the first page of this RFP or Section IV. Schedule, for the RFP Release Date

STEP TWO – APPLICATION FOR QUALIFICATION

VII. STEP TWO APPLICATION FOR QUALIFICATION

Under Step Two, Proposers will submit a Step Two Application for Qualification package for each Bid Facility, containing information and documentation that NYSERDA will evaluate to determine whether the Step Two Application for Qualification package demonstrates that the project meets or exceeds a minimum threshold in each of five Minimum Threshold Qualification categories (Site Control, Interconnection, Permitting, Project Development and Resource Assessment as explained below).

Bid Facilities that satisfy the minimum Threshold Qualification requirements and provide a Bid Deposit will receive a Notice of Qualification allowing them to submit a Step Three Bid Proposal. The Notice of Qualification will also identify the Bid Facility's Maximum Contract Tenor and will provide Proposers with a description of and access to the process and forms to be used to submit a Step Three Bid Proposal.

Proposers qualified through the Step Two Application for Qualification process will be permitted to submit Step Three Bid Proposals or otherwise participate in Step Three.

A. Deadline for Submitting a Step Two Application for Qualification package

The complete Step Two Application for Qualification package must be **received** by NYSERDA no later than **11:59 p.m. ET on Tuesday, June 12, 2018, via electronic submission. NYSERDA strongly recommends that Proposers reserve ample time to address the requirements for each Bid Facility. The Step Two Application for Qualification package must be completed and submitted on-line, before the deadline.** NYSERDA staff will be available to support Proposer's inquiries through 5:00 p.m. on Tuesday, June 12, 2018.

All electronic signatures must be provided as indicated on the Step Two Application for Qualification. Failure to provide any attachments or information requested may result in the Step Two Application for Qualification package being declared non-responsive and rejected. NYSERDA may request additional information and materials at any time. Step Two Application for Qualification packages become the property of NYSERDA.

The Step Two Application for Qualification requires general information identifying the Bid Facility, the Proposer, and other relevant information. The Step Two Application for Qualification can only be completed if a Bid Facility has a valid NYGATS ID and an SoQ or PSoQ (see Section VI Eligible Generation regarding the certification process). Step Two Application for Qualification packages that are incomplete or that lack an SoQ or PSoQ certification may be rejected.

Energy Storage. Should a Proposer wish to submit a Step Three Bid Proposal which includes Energy Storage, the Proposer will need to complete two separate Step Two Applications for Qualification, one with and one without Energy Storage.

Energy Storage components must be commercially available, factory new equipment carrying a minimum 10-year warranty and must have at least one year of documented commercial performance at the time of application and (i) be listed to ANSI UL 9540, or 1973, and (ii) inverters must be listed to UL 1741 or have UL 62109 certification, and (iii) that meets the latest National Electric Code 2017 requirements, including Article 706, Energy Storage Systems. Proposers awarded a Contract Tenor in excess of 10 years shall, prior to the commencement of construction provide an executed Energy Storage operations and maintenance agreement for a term which is greater than or equal to the proposed Contract Tenor. See Section IX (C) (5) below.

A complete Step Two Application for Qualification package consists of:

- 1) Application for Qualification Form (Attachment B);
- 2) Threshold Qualification Supporting Documentation for the following five Project Viability categories:
 - a. Site Control;
 - b. Interconnection;
 - c. Permitting;
 - d. Project Development; and
 - e. Resource Assessment.
- 3) Step Two Application for Qualification narrative overview;
- 4) Proof of Bid Deposit.

If the proposed Bid Facility is currently in operation and has been granted an SOQ, Proposers need only submit:

- 1) Application for Qualification Form (Attachment B);
- 2) Resource Assessment;
- 3) Proof of Bid Deposit.

Application for Qualification Form (Attachment B)

The Application for Qualification Form includes, but is not limited to, the following fields:

1. Bid Facility, Site, and Generating Equipment Description

Provide a complete description and overview of the Bid Facility, and if applicable, Energy Storage²¹, describing the area included in and surrounding the generation and interconnection site(s), a description of the local zoning, and other applicable

²¹ The description must include an overview of the Energy Storage component, including the Storage Unit(s), Interconnection Facilities up to the Point of Interconnection, Prevention Equipment, and Protective Apparatus together with all materials, equipment systems, structures, features and improvements necessary to store, charge and discharge electric energy.

ordinances and municipal laws, existing land use and setting (e.g., woodlands, brownfield, agriculture, other) and describe what the site(s) has been used for in the recent past. Include and describe the status and development stage of Bid Facility (development, construction, or operation). Include information about the specific technology or equipment considered or selected, major equipment to be used, manufacturer or vendors considered or selected, equipment acquisition status, and equipment contract/agreement status.

2. Interconnection Description

Provide a complete description and overview of the planned interconnection of the Bid Facility, and if applicable, Energy Storage, from the generation site, including how the Proposer plans to gain interconnection site control and any rights that must be obtained by the Proposer or interconnecting utility for the interconnection. Identify and describe the individual land parcels associated with the interconnection and any rights of way needed. If applicable, fully describe the relationship of the site to other adjacent infrastructure, including planned or alternate points of interconnection. If the Proposer is planning on using an adjacent parcel or if the right of way is controlled by or assignable to the interconnecting utility that will own the interconnection facilities, clearly explain this in the narrative. Specify and describe the current or new interconnection facilities (lines, transformers, switching equipment, system control protection, etc.) that the Proposer owns or is intending to construct or have constructed in order to deliver the proposed energy.

3. Financing Plan Description

Proposers must demonstrate they have completed a sufficient degree of planning and due diligence on how the project is to be financed by submitting a Financing Plan, as well as by describing their experience in successfully financing electrical generation projects.

Proposers must describe a plan to finance the proposed Bid Facility, including the type of finance approach(es) (PPA, forward energy and/or capacity sale, financial hedge, or other) and intended or actual investors (specified, or by type, depending on financing status). The plan should also address any revenue streams other than RECs, including energy, capacity, and ancillary services produced by the proposed Bid Facility. If hedges have been secured for the proposed Bid Facility, please describe what proportion of the annual energy production has been secured and for what duration.

If applicable, include and describe:

- a. Bid Facility, and if applicable, Energy Storage, construction activities (provide supporting evidence that construction has begun as an attachment).²²

²² For projects described as “under construction,” Proposers must provide evidence of authorization to proceed, or similar, for an Engineering, Procurement, Construction (EPC) contract, a major equipment purchase or similar material non-refundable capital commitment to constructing the project.

- b. Project financing arrangement and closing, with a description of the type of financing commitment (provide financial closing documentation or financing commitment(s) which address any contingencies as an attachment).

For a Step Two Application for Qualification that includes Energy Storage, include a description of the Proposer or its affiliate's Energy Storage financing experience alone and/or with renewable energy facilities in similar detail to the requirements for renewable energy facilities described above.

To document the project finance experience of the Proposer or its affiliates²³, the Proposer must complete Attachment G, for recently financed renewable or non-renewable energy electric generation facilities, specifying the following:

- a. Project Name/Type, experience with similar technology,²⁴ capacity (MW), location, operating status, year of financial closing.
- b. Description of finance approach used for the project, (for instance, project finance, balance sheet finance commitment, tax equity, YieldCo, host ownership, etc.). If applicable, include the value of financing (USD\$) by finance type. The response should identify whether projects were financed alone or together with other facilities; if the latter, describe the portfolio financed together.
- c. A description of Power & REC offtake arrangements (e.g., PPA(s), REC contracts, merchant, net metering, etc.).
- d. A clear indication of whose experience (corporate, affiliate, or individual's) is being described.

4. Project Schedule

If the Bid Facility is under development, the Step Two Application for Qualification package must include a completed Project Schedule, detailing key development milestones. If the Bid Facility is Operational, a completed Project Schedule is not required.

5. Confidentiality

The Application for Qualification Form requests that Proposer indicate whether Proposer wishes to have the information in the Application for Qualification package treated as proprietary or confidential trade secret information. NYSERDA is subject to and must comply with the requirements of New York's Freedom of Information Law ("FOIL" see Public Officers' Law Article 6). Information in any tangible form including any document that Proposer wishes to be protected from disclosure to third parties including any information provided as a part of a proposal must be marked "Confidential" or "Proprietary" at the time such information is provided to NYSERDA.

²³ Proposer, its affiliates, or a senior executive or finance professional who is a principal of the Proposer. Experience of vendors or contractors to the bidding company do not count towards this requirement.

²⁴ Similar technology means the same resource and prime mover (e.g. solar or wind). It is not meant to distinguish between different solar technologies, for example.

NYSERDA reserves the right to make public, after the fifth anniversary of the Award Notification Date, the RES Standard Form Agreement (Attachment H) executed with any awarded project.

The Application for Qualification Form also includes the Proposer's attestation regarding the accuracy and truthfulness of the information and documentation provided by the Proposer.

Threshold Qualification Supporting Documentation – Project Viability

Threshold Qualification supporting documentation should be uploaded as attachments as described in more detail below. Attachments will be limited to files of 80 MB or smaller and should be clearly marked with the Bid Facility Name and NYGATS ID.

Minimum Qualification Thresholds

The listing below identifies the supporting documentation required to verify that the Bid Facility meets the minimum threshold for each Threshold Qualification category. **If the progress by a Bid Facility exceeds the minimum threshold in any category, documentation as to the additional level of progress achieved, beyond the minimum, should be provided.**²⁵ Bid Facilities that have exceeded the minimum thresholds may receive additional points as a part of the 10% Project Viability evaluation in Step Three (see Section X.A. Scoring Criteria and Appendix 2). Should a Bid Facility make incremental progress in any of the five Project Viability categories between Step Two and Step Three, Proposers will have an opportunity to submit additional documentation in the associated Step Three Bid Proposal.

Threshold Category 1: Site Control

The Site Control minimum threshold includes two subcategories: Generation Facility Site Control, and Interconnection Right of Way Site Control.

Generation Facility Site Control

Proposers must demonstrate an executed exclusivity agreement or letter of intent with site owner(s), or that the Proposer owns, has an executed lease for, easement for, or executed binding option with the site owner(s) for the Bid Facility. The full site needed for the Bid Facility must be covered by at least an exclusivity agreement(s) or letter(s) of intent, unless the site is greater than 15 acres, in which case the exclusivity agreement(s) or letter(s) of intent must cover at least 50% of the site's acreage.

²⁵ For example, under Category 2, Interconnection, for a 20 MW Bid Facility subject to NYISO jurisdiction, the documentation required to demonstrate achievement of the minimum threshold consists of a submitted interconnection request. If a Feasibility, System Impact, or Facilities Study has, in fact, been executed, attach a copy and provide confirmation of associated fees paid. The study will satisfy the Minimum Qualification Threshold and will also be considered as a part of the Project Viability evaluation in Step Three.

Interconnection Right of Way Control

Proposers must demonstrate that (i) an exclusivity agreement(s) or letter(s) of intent for the necessary rights of way, and/or (ii) an executed right of way agreement(s), which provide necessary rights to the developer (if the generator lead facilities will be merchant-owned), or (iii) that the right of way is controlled by or assignable to the interconnecting utility that will own the interconnection facilities, or (iv) that the Proposer owns, has executed lease for, easement for, or executed binding option for the necessary rights of way associated with the interconnection for the Bid Facility.

Energy Storage Site Control

A Bid Facility paired with Energy Storage, whether co-located with the generation or located in a separate location from the generation, must have at least an executed exclusivity agreement or letter of intent with the site owner(s). The full site needed for the Bid Facility, and Energy Storage, must be covered by the exclusivity agreement(s) or letter(s) of intent, unless the site is greater than 15 acres, in which case the exclusivity agreement(s) or letter(s) of intent must cover at least 50% of the site's acreage.

Supporting Documentation Required for Site Control²⁶

Proposers must demonstrate that the proposed Bid Facility meets the threshold level of Generation Facility and Interconnection Right of Way Site Control by providing the following documents:

- Map of site plan/layout indicating project and parcel boundaries, to scale, with parcel designation by owner. The map should indicate the (anticipated) interconnection route and the (anticipated) interconnection point(s). If applicable, indicate the relationship of the site to other adjacent infrastructure, including planned or alternate points of interconnection. If available, include a project layout indicating the generation unit and the location of all major equipment and facilities on site. If proposing with Energy Storage co-located with the generator, clearly identify the location of Energy Storage. If proposing with Energy Storage not located with the generator, provide a separate map of the Energy Storage site plan/layout and (anticipated) interconnection route in the same attachment as the Bid Facility map.
- Summary description (table) of control status by parcel with parcel designation tied to site map using Attachment C.
- If available, a one-line diagram.
- If available, GIS data containing the parcel boundaries that the project will occupy (SHP or KML file formats).

²⁶ Unless the proposed Bid Facility is currently in operation (i.e., proposed Bid Facility is applying with an SoQ).

Threshold Category 2: Interconnection

Proposers must have researched the relevant interconnection process for the Bid Facility, determined what interconnection requirements are appropriate for the Bid Facility, and submitted a valid interconnection request (except for Behind-the-Meter Bid Facilities). Proposers submitting supporting documentation to substantiate their Interconnection progress should submit a recent, active (not withdrawn), valid Interconnection Request consistent with Bid Facility as proposed to NYSERDA. Interconnection Requests that have been withdrawn do not meet the minimum Threshold Qualification Requirement. Documentation that does not reflect the Bid Facility as proposed may be rejected.

The threshold requirements vary by the size and location of the Bid Facility:

- Large Bid Facilities (greater than 20 MW) under the authority of the New York Independent System Operator (NYISO) or a similar interconnecting authority in an adjacent U.S. control area:²⁷ Proposer has submitted a valid interconnection request and demonstrates that all initial fees have been paid.
- Small Bid Facilities (less than or equal to 20 MW) under jurisdiction of NYISO or a similar interconnecting authority in an adjacent U.S. control area:²⁸ Proposer has submitted a valid interconnection request and demonstrates that all initial fees have been paid.
- Small Bid Facilities with a Non-Federal Energy Regulatory Commission (FERC) Interconnection:²⁹ Proposer has discussed the Bid Facility with the relevant interconnecting utility company and has identified the applicable requirements. Proposer has submitted a valid interconnection request and demonstrates that all initial fees have been paid.
- Behind-the-Meter Bid Facilities: Proposer has (i) contacted the local interconnecting utility regarding interconnection and (ii) has drafted interconnection request documents.
- Bid Facilities located in Ontario or Quebec, or other Bid Facilities that do not fall under any of the other interconnection categorizations: Proposers must demonstrate that the Bid Facility meets the equivalent threshold for projects of the same scale in the U.S.
- For Bid Facilities paired with Energy Storage: Proposer has discussed Energy Storage with the relevant interconnecting utility company and has identified the applicable requirements. Proposer has either (1) submitted a valid interconnection request for Energy Storage and demonstrates that all initial fees have been paid, or (2) prepared drafts of all initial Energy Storage interconnection application documents such that the interconnection request can be made within 3 months following an award from NYSERDA.

²⁷ FERC Jurisdiction, Large Generator Interconnection

²⁸ FERC Jurisdiction, Small Generator Interconnection, inclusive of 2 MW Fast Track

²⁹ Connecting Transmission Owner Interconnection under state jurisdiction (typically, utility distribution less than 5 MW).

Supporting Documentation Required for Interconnection

The Proposer must demonstrate that the Bid Facility meets the threshold level of interconnection progress by providing a summary or other evidentiary documentation from the Interconnecting entity confirming the extent of interconnection activities and confirming payment of any necessary fees. For Behind-the-Meter Generators, Proposer must also provide a draft (ready for submission) of all interconnection request documents.

Threshold Category 3: Permitting

Proposers must be well informed of all applicable permitting requirements and sufficiently advanced in planning for the permitting process. To fulfill this requirement, all Proposers must meet the following threshold requirements:

- 1) For Bid Facilities subject to Article 10 (greater than or equal to 25 MW), the Proposer must describe its plan for advancing the Bid Facility through the Article 10 process, including a description of the Proposer's proposed Public Involvement Program Plan (PIP) and any approach regarding stipulations or other expectations.
- 2) For Bid Facilities within the NYCA not subject to Article 10 (less than 25 MW), the Proposer must provide documentation demonstrating that: (a) that the local approval process is underway as demonstrated by initial applications and preliminary documents or (b) that a request for a zoning change or variance has been initiated with the appropriate local government. This includes:
 - i) any NYS Department of Environmental Conservation (DEC) Environmental Assessment Form (EAF) submissions.³⁰ If applicable, evidence that the Lead Agency for the SEQRA process has been designated or is in the process of designation.
 - ii) if applicable, applications for construction permit(s) that have been submitted to local authority(ies) with approval jurisdiction.
 - iii) for hydroelectric facilities only, include the Bid Facility's FERC license expiry date or provide evidence that FERC licensing process has been initiated and notice of intent has been filed.
- 3) For Bid Facilities not located in the NYCA, complete Attachment D, EAF modeled after the New York SEQRA Short Environmental Assessment Form.
- 4) For all Bid Facilities:
 - a) Complete Attachment E, List of Required Permits, by providing a list of required permits at the local, state and federal level required to construct and operate the Bid Facility, and if applicable, Energy Storage. The list will be complete and identify all governing municipalities with jurisdiction or approval authority associated with the Bid Facility, and if applicable, Energy Storage, as proposed to NYSERDA and will include any special use/conditional use permits, air permits, FERC licenses, planning board approvals, U.S. Army Corps of Engineers (USACE) letters, and other applicable requirements. In Attachment E, additional permitting information is requested for Biomass and Biogas Bid

³⁰ See <https://www.dec.ny.gov/permits/6191.html> for a full list of NYS DEC EAF and SEQRA forms.

Facilities only. Proposers must identify a contact for each jurisdiction (for example, hamlet, village, town, city, county, agency, authority, State, or other) associated with the permits. If the Proposal includes Energy Storage located in a separate location from the generation, the Proposer will list all associated permits on the same Attachment E as provided for the Bid Facility. The permits associated with the Bid Facility and the Energy Storage should be delineated.

- b) Describe the extent of any negotiations regarding payments in lieu of taxes or host community agreements.
 - c) Provide an initial review of (i) cultural, historic, archeological and natural heritage impacts, as may be required; and (ii) wetland, fish and wildlife, and other applicable environmental impacts.
- 5) If applicable, the Proposer shall have developed emissions profiles for the Bid Facility that are consistent with state/federal emission regulations and RES eligibility requirements.
- 6) If applicable, for Bid Facilities including Energy Storage, either:
- i) include any NYS Department of Environmental Conservation (DEC) Environmental Assessment Form (EAF) submissions³⁰ specific to Energy Storage. If applicable, evidence that the Lead Agency for the SEQRA process has been designated, or
 - ii) complete Attachment D. EAF modeled after the New York SEQRA Short Environmental Assessment Form for Energy Storage.

Supporting Documentation Required for Permitting²⁶

The Proposer must demonstrate that it meets the threshold level of permitting progress by providing the following documents:

- Documents filed with the applicable local authority(ies) with approval jurisdiction;
- If applicable, a completed EAF in Attachment D.
- Documentation from the local governmental authority confirming that a request for a zoning change or variance has been initiated;
- List of required permits, using Attachment E;
- Documentation sufficient to demonstrate progress on each of the applicable items delineated in the previous section.

Threshold Category 4: Project Development

Proposers must demonstrate that they have experience in developing electric generation facilities. Specifically, the Proposer or the principals in its development team must have developed at least one electrical generation facility of similar or larger scale. NYSERDA will not consider aggregated portfolios of generation facilities as a project under this criterion. For the purposes of this criterion, similar scale is defined as follows:

- A project of at least 33% of the proposed Bid Facility capacity, in MW; or

- A project of at least 10% of the proposed Bid Facility capacity, in MW, if the Proposer has also successfully completed the same interconnection process in the same State or Jurisdiction as the proposed Bid Facility.

For a Proposal including a Bid Facility with Energy Storage, the Proposer must also demonstrate that it has experience in developing at least one Energy Storage system of similar or larger scale using the same technology as proposed.

Supporting Documentation Required for Project Development²⁶

The Proposer must demonstrate it meets the threshold level of project development experience by providing the following document:

- A list of specific projects successfully developed, specifying the nameplate capacity, technology,³¹ commercial operation date, and location using Attachment F.

Threshold Category 5: Resource Assessment

Proposers are required to provide a P(50)³² Resource Assessment for the Bid Facility, including the supporting documentation described below. Resource Assessments must be consistent with the Bid Facility, and if applicable, Energy Storage, as proposed to NYSERDA.

The requirements for the Bid Facility Resource Assessment are based on the Bid Facility's technology as follows and are comprised of:

- 1) An Energy Estimate, which approximates the availability of the renewable resource to be used by the Bid Facility.
- 2) A Production Estimate, which estimates the Bid Facility's ability to convert the renewable resource to electric power.

For Upgrades, provision of the Resource Assessment submitted through the Step One Resource Eligibility Determination process is sufficient to meet the Threshold Category 5 requirements.

Bid Facilities including Energy Storage shall include a P(50) Resource Assessment for the Bid Facility that includes the Energy Storage output, taking into account the Energy Storage size (MW), operating restrictions, charging, and start-up limitations (for example, cycles per year, time and energy required to go from a 0% state of

³¹ Resource and prime mover, e.g. solar; e.g., wind. Not meant to distinguish between different solar technologies, for example.

³² P(50) represents a level of resource projection or production estimate with a 50% likelihood of being exceeded in any future year. This value shall be the expected value (i.e., the mean) based on the assessment methods. This value shall be the expected value (i.e., the mean) based on (i) multi-year historical resource data or (ii) as applicable to the Bid Facility based on the criteria listed for the associated resource.

charge to 100% state of charge, the amount of energy delivered at maximum from 100% state of charge to 0% state of charge).³³

Solar

An acceptable Resource Assessment includes an Energy Estimate and a Production Estimate consistent with the Bid Facility as described below.

- 1) Energy Estimate which characterizes the expected P(50) insolation at each site and is typically based on long-term measured data at a nearby site or via satellite-based models. The Energy Estimate can be met with any of the following:
 - a. NREL or similar government issued dataset Typical Mean Year (TMY2)³⁴ or National Solar Radiation Database (NSRDB) 1991-2010³⁵ data from a site 50km or closer to the project location.
 - b. A satellite-based resource estimate using Meteosat, GMS, GOES or AMTSAT or similar data (e.g. 3 Tier (now Vaisala)); Solar GIS; SolarAnywhere or Meteonorm.
 - c. At least one year of hourly measured site data, used to adjust a distant long-term reference station or data set.
- 2) Production Estimate which characterizes how well the Bid Facility will convert solar radiation into electric power. It must be based upon the Energy Estimate described above and specific to the conversion technology (e.g. photovoltaic) and mounting design (e.g., fixed-tilt, single- or double-axis tracking) proposed for the Bid Facility. The Production Estimate should be based on an hourly P(50) 8760 from a system performance model, using industry standard tools such as PVWatts (for rooftop projects), PVSyst, Helioscope or System Advisory Model (SAM).

Supporting Resource Assessment Documentation Required for Solar Bid Facilities:

An Energy Estimate and Production Assessment as described above.

Wind

An acceptable Resource Assessment includes an Energy Estimate and a Production Estimate consistent with the Bid Facility as described below.

- 1) Energy Estimate which characterizes the Bid Facility's wind resource (e.g. long-term mean wind speed, direction and density characteristics at hub height) can be satisfied through either measured data or modeled data.
 - a. Measured Data: Wind and temperature measurements that are taken at elevations below the planned hub height must be extrapolated to

³³ Proposers will need to complete two separate Resource Assessments for the separate Step Two Applications for Qualification, one with and one without Energy Storage. See Sections VII and IX C (5).

³⁴ Available from NREL by State http://rredc.nrel.gov/solar/old_data/nsrdb/1961-1990/tmy2/State.html

³⁵ Available from NREL http://rredc.nrel.gov/solar/old_data/nsrdb/1991-2010/

represent hub height speed, direction and air density conditions. Measurement campaigns must include least six (6) continuous months of observed wind data on the site. The measured characteristics must be annually and climatologically adjusted via one or more high quality, long-term³⁶ reference station or data sets.

- b. Modeled Data: Modeled data must be representative of long-term³⁶ average Bid Facility conditions at hub height. The Proposer shall provide either i) Bid Facility site-specific modeled wind conditions derived by an experienced practitioner using appropriate flow modeling tools for the environment and site conditions (the Proposer should include a description of the practitioner's experience); or ii) Existing validated wind maps produced by an experienced 3rd-party for the Bid Facility are acceptable when the source is cited.
- 2) Production Estimate which characterizes how well the Bid Facility will convert available wind into electric power. It must be based upon the Energy Estimate described above and combined with an assumed project configuration consistent with the Bid Facility that includes turbine characteristics, project layout, site conditions and technical losses. The Production Estimate shall be presented on an annual and/or project lifetime scale, the methods and/or software employed for assessing gross and net energy production must be identified and described, and the experience and/or credentials of the author must be identified. The Production Estimate must be based on an hourly P(50) 8760 schedule with Bid Facility site-specific inputs and technical losses. The Proposer should include initial estimated technical losses and describe the methods employed to estimate the losses, or the assumptions made to assign initial values. The defined values must be aggregated into a total loss value that is used to convert gross energy generation estimates to net energy production estimates, and an initial estimate of project net energy uncertainty should be included. Initial estimated technical losses include:
- Wake Effects: includes the internal wake effects of the proposed Bid Facility turbines, as well as the effects of any existing or planned projects in the vicinity.
 - Availability: includes losses associated with the availability of the Bid Facility wind turbines, balance of plant and the grid.
 - Electrical: includes the electrical efficiency of the Bid Facility between the low or medium voltage side of the wind turbine transformer and the energy measurement point (meter), including any facility parasitic consumption.
 - Turbine Performance: includes all losses associated with any sub-optimal plant performance and expected deviations from the assessed power curve, along with any losses expected from the hysteresis loop between high wind cut-out and re cut-in.

³⁶ Long-term conditions are considered to be 10 years of data or Bid Facility operation (wind).

- Environmental: includes loss effects due to environmental parameters such as icing, blade degradation, high/low temperature shutdown, exposure changes, etc.
- Curtailment/Operational Strategies: includes the effects of curtailments, including any required for turbine loading, grid, or environmental permits. Also includes the effects of any other operator-defined operational strategies, not captured in the power curve.

Supporting Resource Assessment Documentation Required for Wind Bid Facilities:

An Energy Estimate and Production Assessment as described above.

Hydroelectric

An acceptable Resource Assessment includes an Energy Estimate and a Production Estimate consistent with the Bid Facility as described below.

- 1) Energy Estimate which characterizes expected P(50) stream flow from USGS gauges and net head assumptions for the Bid Facility Site, calculated based on monthly to daily average flow values derived from a robust set of relevant historical flow data. The expected P(50) stream flow estimate and related energy calculations should provide adequate and applicable data to demonstrate the amount of renewable resource available, based on a combination of measured or modeled data that includes:
 - a. Monthly historical stream flow averages from USGS gauges or similar sources (if not USGS, describe the source) for 20 years. If less than 20 years is available, specify the duration available.
 - b. Adjustments to calibrate measured values to expected flow available at the Bid Facility site, identifying the distance of the gauge from the Bid Facility site.
 - c. Adjustments to reasonably estimate applicable changes to available stream flow measurements (e.g., minimum flows, other water uses or interests, or flows available from upstream hydroelectric resources, if applicable) which may impact the quantity or temporal profile of water available to the Bid Facility.
 - d. Net head assumptions for the Bid Facility site.
 - e. Identification of expected energy production under normal conditions.
- 2) Production Estimate prepared by an independent NYS Professional Engineer not affiliated with the Proposer with monthly granularity, based on the resource estimate, reflecting historical statistics, and industry standard efficiency and loss estimates, that includes the following:
 - a. Estimates of the overall efficiency (e.g., taking into account the combination of turbine, generator and step-up efficiency factors) based on industry standards.
 - b. Estimate(s) for applicable losses.
 - c. Estimates of forced outage and planned maintenance based on typical industry standard factors.

For Bid Facilities with existing impoundment facilities, the Resource Assessment should demonstrate dam viability by including the most recent FERC dam condition report.

Supporting Resource Assessment Documentation Required for Hydroelectric Bid Facilities:

An Energy Estimate and Production Assessment as described above.

Fuel Cells

An acceptable Resource Assessment includes an Energy Estimate and a Production Estimate consistent with the Bid Facility as described below.

- 1) Energy Estimate which includes a fuel assessment and fuel interconnection plan describing the Bid Facility's annual fuel quantity requirement, the type(s) and source(s) of the fuel, an assessment of available fuel for the Bid Facility, the Bid Facility's proximity to the fuel interconnection (ability to provide fuel at sufficient pressure to operate), and specification of known equipment or improvements necessary to connect the Bid Facility with the fuel supply.
- 2) Production Estimate including a supply plan that describes how the fuel will be supplied, such as the percentage of the total fuel that will be procured from a spot market, Local Distribution Company (LDC) tariff, or longer-term contract (specify duration), and the transportation pipeline(s) used. If applicable, include a description of the gas supply and transportation tariff or proposed contractual arrangements, whether firm or interruptible, for the term proposed to NYSERDA.

Supporting Resource Assessment Documentation Required for Fuel Bid Facilities:

An Energy Estimate and Production Assessment as described above.

Biomass and Biogas

An acceptable Resource Assessment includes an Energy Estimate and a Production Estimate consistent with the Bid Facility as described below which includes a feedstock/fuel assessment, and if applicable, a fuel interconnection plan, in conjunction with a supply plan, prepared by a qualified independent 3rd-party not affiliated with the Proposer.

- 1) Energy Estimate which includes a feedstock/fuel assessment that describes the Bid Facility's annual fuel quantity requirement, the type(s) and source(s) of the fuel, an assessment of available fuel for the Bid Facility, the Bid Facility's proximity to the fuel, specification of known equipment or improvements necessary to connect the Bid Facility with the fuel supply, and ability to provide fuel sufficient to operate.
- 2) Production Estimate including a supply chain (and fuel interconnection for biogas) plan that describes how the fuel will be supplied, addressing if there is or will be sufficient fuel/feedstock to supply the Bid Facility throughout the life or term of the Contract Tenor proposed. The plan should address how fuel will be available (both in the short and long-term) at prices sufficient to

support the Bid Facility. Proposers will include and describe the risks to the fuel/feedstock supply (e.g., disruption or price increase resulting in unsustainable operations). If applicable, describe any current operating permits and/or future permitting plans (e.g., future landfill expansions to meet the production consistent as proposed and waste disposal contract risks) or issues surrounding regulatory authority (including demographic and waste disposal trends) to support expansions. The information provided in the Permitting Project Viability Category (Attachments D and E, if applicable, and other documentation provided) should support the Production Estimate.

Supporting Resource Assessment Documentation Required for Biomass and Biogas Bid Facilities:

An Energy Estimate and Production Assessment as described above.

Ocean/Tidal

An acceptable Resource Assessment includes an Energy Estimate and a Production Estimate consistent with the Bid Facility as described below, prepared by a qualified independent 3rd-party not affiliated with the Proposer.

- 1) Energy Estimate which characterizes expected P(50) ocean wave, tidal range, tidal current, or ocean current energy resources. The Energy Estimate should identify the area of high energy consistent with Attachment C. Summary of Site Control, quantify the average annual energy resource (e.g., total annual wave energy) and describe Bid Facility site specific parameters, such as significant wave height, wave energy period (peak and mean), and mean wave direction and type of quality of data (e.g., buoy measurements, radar measurements, modelled wave generation). The related energy calculations should provide adequate and applicable data to demonstrate the amount of renewable resource available based on measured or modeled data.
- 2) Production Estimate which characterizes annual P(50) energy production with monthly granularity describing the process through which the Bid Facility converts available Ocean/Tidal energy into electric power. The Production Estimate must be based on the Ocean/Tidal Resource Estimate (described above) and combined with an assumed project configuration consistent with the Bid Facility that includes the project layout, site conditions, planned maintenance, efficiencies and technical losses. The Production Estimate shall be presented on an annual and/or project lifetime scale, the methods and/or software employed for assessing gross and net energy production must be identified and described, and the experience and/or credentials of the author must be identified.

Supporting Resource Assessment Documentation Required for Ocean/Tidal Bid Facilities:

An Energy Estimate and Production Assessment as described above.

Step Two Application for Qualification Narrative Overview

The Proposer will provide an attachment containing a narrative describing how the Bid Facility, and if applicable, Energy Storage, meets or exceeds the Minimum Threshold Criteria in each Project Viability category. The narrative overview should complement the supporting documentation required for each category.

Bid Deposit

The Step Two Application for Qualification package must be accompanied by a Bid Deposit, in the form of electronic wire deposit (preferred) or certified funds, in an amount determined by the Nameplate Capacity of the Bid Facility. Proposers must indicate that they have submitted a Bid Deposit with their application and attached proof of the provision of a Bid Deposit, such as a receipt.

Required Bid Deposit amounts are as follows:

Nameplate Capacity:	Bid Deposit:
Less than 5.00 MW	\$5,000
5.00 – 19.99 MW	\$20,000
20.00 – 49.99 MW	\$50,000
50.00 MW or more	\$100,000

All Bid Deposits must be clearly labeled with a unique identifier comprised of the facility's NYGATS ID and the RFP Tracking Number, in the format: GENXXXXX_RESRFP18-1, or PROXXXXX_RESRFP18-1, or IMPXXXXX_RESRFP18-1. Only Bid Facilities that have received confirmation of a Step One Resource Eligibility Determination are eligible to submit a Step Two Application for Qualification package.

Bid Deposits provided via electronic wire deposit must have this unique identifier included within the Payment Details/ Description. Bid Deposits provided via cashier's check must have this unique identifier clearly labeled within the Memo or elsewhere on the check.

If the Proposer is submitting multiple Step Two Application for Qualification packages for more than one Bid Facility, a separate Bid Deposit must be submitted for each Bid Facility, and the Bid Facility must be clearly identified on the payment method in addition to the unique identifier, e.g.
Project Name, GENXXXXX_RESRFP18-1 or PROXXXXX_RESRFP18-1 or
IMPXXXXX_RESRFP18-1

Electronic Bid Deposit Instructions:

If paying via ACH:

Name of Bank: Bank of America
For the Account of: NYSERDA MAC 30
ABA #: 021000322

Account #: 6010316543

Description/reference: (NYGATS ID followed by RFP Tracking Number, e.g., GENXXXXX_RESRFP18-1 or PROXXXXX_RESRFP18-1 or IMPXXXXX_RESRFP18-1

If paying via wire:

Name of Bank: Bank of America

For the Account of: NYSERDA MAC 30

ABA #: 026009593

Account #: 6010316543

Description/reference: (NYGATS ID followed by RFP Tracking Number, e.g., GENXXXXX_RESRFP18-1 or PROXXXXX_RESRFP18-1 or IMPXXXXX_RESRFP18-1

If paying via Certified Funds:

If the Bid Deposit is provided via a cashier's check or other certified funds, the Bid Deposit must be clearly labeled with the facility's NYGATS ID followed by RFP Reference, e.g., GENXXXXX_RESRFP18-1 or PROXXXXX_RESRFP18-1 or IMPXXXXX_RESRFP18-1, and sent to:

Joanne Sullivan, RESRFP18-1

NYS Energy Research and Development Authority

17 Columbia Circle

Albany, NY 12203-6399

Return of Bid Deposit:

Bid Deposits will be refunded to Proposers who: (1) elect not to submit a Step Three Bid Proposal, (2) are deemed ineligible by NYSERDA to participate in Step Three, or (3) who withdraw a Bid Proposal on or before October 1, 2018 (See Section IV. Schedule). Bid Deposits will be refunded to Proposers whose Bid Proposals have not been selected for an award, if not before, upon the expiration of the time during which the Bid Proposal remains an open offer.

Bid Deposits will be refunded to Proposers whose Bid Proposals have been selected for an award upon execution of the RES Standard Form Agreement (Attachment H), and:

- 1) for Operating Facilities with an SoQ, upon (i) unless otherwise agreed by NYSERDA in writing, NYSERDA's receipt that a Forward Transfer of NYGATS Certificates has been created, and (ii) the first Tier 1 REC transfer to NYSERDA's designated account has occurred.
- 2) for Facilities not yet operational with a PSoQ, upon NYSERDA's receipt of Contract Security as described in Section XI (3).

Bid Deposits will not be refunded if a facility is awarded a contract under RESRFP18-1 and Proposer fails to execute NYSERDA's RES Standard Form Agreement (Attachment H) within a reasonable time following notification of an award.

VIII.STEP TWO NOTICE OF QUALIFICATION

NYSERDA will evaluate each Step Two Application for Qualification package, including all threshold supporting documentation, for completeness and against the Minimum Qualification criteria specified in this RFP.

- Proposers whose Step Two Application for Qualification packages are found not to satisfy the minimum thresholds or to be deficient in some other respect will receive notification that they are not eligible to submit a Step Three Bid Proposal.
- Proposers deemed qualified to submit a Step Three Bid Proposal will be emailed a Notice of Qualification, which will include the Maximum Contract Tenor described below as well as instructions on how to submit a Step Three Bid Proposal.

Maximum Contract Tenor

Information provided with the Step Two Application for Qualification packages will also be used to determine the Maximum Contract Tenor available to the Bid Facility; the Notice of Qualification provided after Step Two Application for Qualification submission will include the applicable Maximum Contract Tenor. The Contract Tenor offered in Step Three for a particular Bid Facility will be limited by the term of the Maximum Contract Tenor. For all Bid Facilities not in Commercial Operation as of the RFP Release Date²⁰. The Maximum Contract Tenor will be calculated as the lesser of:

- (1) 20 years, or
- (2) the Bid Facility's Useful Life.

For all Bid Facilities in Commercial Operation as of the RFP Release Date²⁰, the Maximum Contract Tenor applicable to the project's bid will be calculated as the lesser of:

- (1) 20 years (240 months) minus the number of years (months) between the year (month) of Commercial Operation and the RFP Release Date²⁰ (rounded to the nearest full year), or
- (2) The Bid Facility's Useful Life minus the number of years (months) between the year (month) of Commercial Operation and the RFP Release Date²⁰ (rounded to the nearest full year).

For a Return to Service Facility, the date of Commercial Operation for purposes of calculating the Maximum Contract Tenor shall be the original date of Commercial Operation prior to the outage. For a Relocated Facility, the date of Commercial Operation for purposes of calculating the Maximum Contract Tenor shall be the first date of Commercial Operation in the original control area.

The following table lists the Useful Life by resource for use in the calculations of Maximum Contract Tenor for this RFP. This table was developed using references from published industry sources.

Table 1. Default Values for Useful Life used to determine Maximum Contract Tenor

<u>Resource</u>	<u>Useful Life (years)</u>
Anaerobic Digestion	20
Biomass/Liquid Biofuel	20
Fuel Cell ³⁷	20
Hydroelectric (New or Upgrade)	50
Landfill Gas to Electricity	15
Solar PV	20
Tidal/Ocean	10
Wind	20

³⁷ Proposers submitting Step Three Bid Proposals for Fuel Cell Bid Facilities offering a Contract Tenor longer than 10 years will be required to provide, prior to NYSERDA's execution of an Agreement, an executed Bid Facility operations and maintenance agreement with the Bid Facility's host customer for a term which is greater than or equal to the proposed Contract Tenor.

STEP THREE - BID PROPOSAL

IX. STEP THREE BID PROPOSAL

Proposers receiving a Notice of Qualification will be invited to submit a Step Three Bid Proposal which will require additional information including a Bid Price and more detailed information about the proposed project, the developer, and the maturity and experience of each. Additional information and materials beyond what is identified in this RFP may also be requested by NYSERDA.

RESRFP18-1 is a competitive procurement. The competitive procurement rules limit NYSERDA's ability to alter the terms of the RES Standard Form Agreement (Attachment H) issued with this RFP. However, as part of the Step Three Bid Proposal, Proposers may indicate terms of the Agreement that they wish to further discuss by providing an attachment in the form of a memorandum. The memorandum should specifically identify any terms and conditions that the Proposer wishes to clarify or negotiate prior to execution. When constructing the memorandum, please identify the Article in the Agreement and state the nature of the issue to be discussed. Should the Bid Facility receive an award, NYSERDA will contact Proposers to schedule a discussion regarding the terms identified in the memorandum.

The indication by a Proposer that it wishes to negotiate the terms of the RES Standard Form Agreement will have no impact on the scoring or evaluation of the Bid Proposal.

A. Deadline for Submitting a Step Three Bid Proposal

The Step Three Bid Proposal must be completed via electronic submission on-line before the deadline. The complete Step Three Bid Proposal must be **received** by NYSERDA no later than **11:59 p.m. ET on Wednesday, August 15, 2018, via electronic submission**. NYSERDA recommends that Proposers reserve ample time to address the Step Three Bid Proposal requirements for each Bid Facility. NYSERDA staff will be available to support Proposer's Step Three Bid Proposal inquiries through 5:00 p.m. on Wednesday, August 15, 2018.

B. Step Three Bid Proposal Scoring

Step Three Bid Proposals will be evaluated and scored based on: (1) the Bid Price, which will be weighted at 70% of the overall score, and (2) non-price factors, which will have a combined weight equaling 30% of the overall score.

The 30% non-price component is divided into three equally-weighted categories:

1. 10% Incremental Economic Benefits to New York State;
2. 10% Project Viability beyond the Minimum Thresholds; and
3. 10% Operational Flexibility and Peak Coincidence.

Appendices 1, 2 and 3 provide detailed explanations of the scoring rubrics for each of the non-price categories; an overview of these categories is included below.

C. Submitting a Step Three Bid Proposal

The Notice of Qualification received by Proposers for Bid Facilities deemed qualified under Step Two will include instructions on how to submit a Step Three Bid Proposal. The Step Three Bid Proposal must be complete in all respects and uploaded using NYSERDA's specified website in accordance with the instructions provided. All electronic signatures must be provided as indicated.

With the Notice of Qualification, Proposers will be provided with a complete Step Three Bid Proposal package that consists of relevant instructions and access to an electronic application that includes the following:³⁸

- 1) Bid Facility Overview – Confirmation or modification of the narrative description of the Bid Facility, Site, and Generating Equipment, Interconnection Description, Project Schedule, Project Contracts, and Bid Facility Site Address provided in the Step Two Application for Qualification;³⁹
- 2) Bid Quantity, Bid Price, and Contract Tenor;
- 3) Incremental Economic Benefits Claims;
- 4) Project Viability
 - a. Instructions to provide documentation to demonstrate the current level of progress in any of the Project Viability Categories beyond the documentation provided in the Threshold Categories in Step Two (Site Control, Interconnection, Permitting, Project Development, and Resource Assessment);
 - b. Instructions to complete the Site Character subcategory;
 - c. Instructions on how to pledge additional Contract Security (if so elected);
- 5) Operational Flexibility and Peak Coincidence
 - a. Instructions to provide documentation to demonstrate dispatchability for the Bid Proposal, and if applicable, Energy Storage;
- 6) Community Outreach Plan; and
- 7) Public Release of Bid Facility Information Form (Attachment I).

Any attachment provided to NYSERDA should state the Bid Facility Name, NYGATS ID, and the page number. Attachment files are limited to 80 MB. Proposers should seek to balance responsiveness with brevity. Unnecessary attachments or lengthy responses beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

³⁸ If the proposed Bid Facility is currently in operation, the Step Three Bid Proposal package is only required to include applicable portions of the Bid Facility Overview; Bid Quantity, Bid Price, and Contract Tenor; if applicable, Operational Flexibility and Peak Coincidence attachments and information; and the Public Release of Bid Facility Information Form. The Bid Facility will receive no points in the Incremental Economic Benefits category and maximum points in all Project Viability categories except Site Character.

³⁹ If incremental progress has been made since completing Step Two, a description of the updates and progress made must be included in the Step Three Bid Proposal.

The Proposer is responsible for the accuracy of all information delivered to NYSERDA. NYSERDA will only consider Step Three Bid Proposals that are substantially complete and include all applicable and required information and representations. Failure to provide any information requested may result in the Step Three Bid Proposal being declared non-responsive and rejected.

The submission of a Step Three Bid Proposal will constitute a binding offer to contract under the terms of the RES Standard Form Agreement (Attachment H); such offer must remain open for a period of at least sixty (60) days from the Step Three Bid Proposal deadline. Should a Proposer wish to submit a Bid Proposal with Energy Storage, the Proposer will also be required to submit a separate Bid Proposal without Energy Storage.

1) Bid Facility Overview

NYSERDA will provide Proposers with access to an electronic Bid Facility Overview section that is based on the Bid Facility's characteristics and information provided to NYSERDA in the associated Step Two Application for Qualification. Proposers will be responsible for submitting one fully completed Bid Facility Overview for each Bid Facility. The Bid Facility Overview requests relevant details about the Proposer and Bid Facility and includes an attestation by the Proposer regarding the accuracy and truthfulness of the information and documentation provided by the Proposer. The Proposer will update relevant Bid Facility contacts, confirm the Bid Facility Site address, and will have the opportunity to confirm and/or update the: (1) Bid Facility, Site, and Generating Equipment Description, (2) Interconnection Description, and (3) Project Schedule.

If information provided to NYSERDA in the Step Three Bid Proposal reflects significant changes, as compared to the information provided in the Step Two Application for Qualification, the Proposer will include an explanation of these changes in its Step Three Bid Facility Overview.

2) Bid Quantity, Bid Price, and Contract Tenor

The Bid Quantity, Bid Price, and Contract Tenor section includes fields for the Proposer to calculate the annual number of Tier 1 RECs (Bid Quantity) offered to NYSERDA and the Contract Tenor, subject to the following restrictions:

- a) Proposers may submit bids for any Contract Tenor of a minimum of one year and a maximum of the Maximum Contract Tenor identified in the Bid Facility's Notice of Qualification.
- b) For wind, solar, and hydroelectric resource types, the Expected Annual Eligible Production shall not exceed the P(50) annual energy production estimate provided under Step Two or a refined P(50) provided under the Step Three Bid Proposal.
- c) The Bid Quantity Percentage shall be no less than thirty percent (30%) and no greater than one hundred percent (100%) of the Expected Annual Eligible Production.

Proposers will be responsible for submitting one Bid Price with each Bid Proposal. The Bid Price provides the fixed price to be paid for each Tier 1 REC associated with energy generated by the Bid Facility and accepted by NYSERDA for the term of the Contract Tenor.

3) Incremental Economic Benefits Claims

One of the non-price evaluation criteria will consider the Incremental Economic Benefits expected to accrue to New York because of the development, construction/modification, and operation of the Bid Facility. Incremental Economic Benefits are those that a Proposer can demonstrate: (1) will accrue after an award under this RFP, and (2) would not have accrued but for the award of a contract under this RFP.

Incremental Economic Benefits previously claimed with respect to a Bid Facility that is subject to a pending award under a previous solicitation or that is the subject of a current NYSERDA RPS or RES contract are not eligible for evaluation.

Proposers must provide complete information along with the supporting documentation or requested data in the following four categories:

- a) Long-Term New York State Jobs;
- b) Payments/Benefits to New York State and/or its Municipalities;
- c) Payments for Renewable Fuels and Resource Access; and
- d) In-State Purchases, Consumption of Goods, and Short-term Employment.

All laborers, workmen and mechanics, within the meaning of NYS Labor Law Article 8, performing construction activities with respect to the Bid Facility and Energy Storage, if applicable, including, but not limited to, the staging, installation, erection and placement of Bid Facility and its electrical interconnection as well as start-up and commissioning of the Bid Facility, whether through long-term or short-term employment, must be paid at least the applicable Prevailing Wage applicable in the area where the Bid Facility will be situated, erected and used, as published by the [NYS Department of Labor \(DOL\)](#)⁴⁰ or at least the equivalent Prevailing Wage requirements of the jurisdiction where the Bid Facility is located. This requirement applies: (1) to all laborers, workmen and mechanics performing construction activities, whether they be direct employees of the Seller or of Seller's subcontractor(s), and (2) regardless of whether or not Seller claimed such employment as an Incremental Economic Benefits in its Bid Proposal.

⁴⁰ For NYS DOL Prevailing Wage Schedules, please visit:
<https://applications.labor.ny.gov/wpp/publicViewPWChanges.do?method=showWt> and
<https://applications.labor.ny.gov/wpp/showSearchWageSchedulePublic.do?method=showWt>

NYSERDA will audit the Seller's payment practices as part of Operational Certification as described in Appendix 1. Should NYSERDA determine the Seller has failed to pay at least the Prevailing Wage, NYSERDA will notify Seller in writing and suspend payments to the Seller until any discrepancy in payment is cured; the cure period will continue for 12 months from the date of notification, after which time the Agreement will be considered in default.

Independent audit and verification of the actual Incremental Economic Benefits of the Bid Facility and comparison to the level of claimed Incremental Economic Benefits will be required after the first three years of the Contract Delivery Term, as described in Section XII.

See Appendix 1 for a detailed description of eligibility and the evaluation and scoring process for Incremental Economic Benefits.

4) Project Viability

The Step Three Bid Proposal includes the following seven Project Viability subcategories:

- (a) Site Control;
- (b) Interconnection;
- (c) Permitting;
- (d) Project Development;
- (e) Resource Assessment;
- (f) Site Character; and
- (g) Pledge of Additional Contract Security.

Proposers receiving a Notice of Qualification for participation in Step Three will be provided with the opportunity to demonstrate that they have exceeded the minimum Project Viability qualification threshold(s) beyond the information provided in Step Two Application for Qualification packages for Site Control, Interconnection, Permitting, Project Development, and Resource Assessment.

Scoring for all Project Viability subcategories will be based on the Project Viability documentation received in Step Two and Step Three. See Appendix 2 for a detailed description of the evaluation and scoring process for Project Viability.

For the Project Viability - Site Character subcategory (4(f)), Bid Proposals will be evaluated according to the Proposer's level of willingness to site and construct the Bid Facility's Permanent Physical Footprint in locations that avoid encroachment on land with agricultural importance to New York State by committing to avoid overlap with prime agricultural areas and to avoid development on parcels that at the time of the Bid held an agricultural assessment. Proposers may claim Site Character points in exchange for attesting that:

- 1) The permanent generation, interconnection and, if applicable, Energy Storage footprint (Permanent Physical Footprint) associated with the Bid Facility will avoid land identified by the United States Department of Agriculture (USDA) as prime farmland and prime farmland if drained ("Prime Farmland"). NYSERDA has provided Proposers with an [interactive, web-based Site Character map and downloadable GIS files](#) (SHP format) to identify Prime Farmland areas associated with the Bid Facility's project parcels⁴¹, and/or
- 2) The permanent generation, interconnection and, if applicable, Energy Storage footprint (Permanent Physical Footprint) associated with the Bid Facility will avoid parcels with an agricultural assessment at the time of Step Three Bid Proposal submittal. NYSERDA advises Proposers to consult with landowners or County Tax Assessment roles to determine if an agricultural assessment applies to a project parcel(s).

To earn points, Proposers submitting Step Three Bid Proposals for wind and solar Bid Facilities must also agree to construct the Bid Facility in accordance with New York Department of Agriculture and Markets (DAM) Construction Standards (Exhibit E).

During NYSERDA's Operational Certification process, Bid Facilities for which Site Character points were awarded will be required to provide NYSERDA with a detailed site map, consistent with the final build, such that NYSERDA can determine the Bid Facility's adherence to the original claim(s) (Defined Percentage(s)). NYSERDA will calculate the percentage of the Bid Facility's Permanent Physical Footprint that is free from Prime Farmland, and/or parcels with an agricultural assessment.

NYSERDA will retain twenty-five percent (25%) of the Bid Facility's Contract Security. Such amount shall be refunded to Seller should NYSERDA determine, through Operational Certification (which will review the final site plan and the Site Character Map provided to Seller), that the percentage of encroachment of the Permanent Physical Footprint of the Bid Facility is equal to or less than the Defined Percentage(s). Such amount shall be forfeited to NYSERDA by Seller should NYSERDA determine, through Operational Certification (which will review the final site plan and the Site Character Map provided to Seller), that the percentage of encroachment of the Permanent Physical Footprint of the Bid Facility is greater than the Defined Percentage(s).

For wind and solar Bid Facilities where Site Character points were awarded, NYSERDA will retain twenty percent (20%) of the Bid Facility's Contract Security for a period of 365 days following the date upon which the project achieves Commercial Operation. Upon such date, NYSERDA will: (1) refund the retained Contract Security; or (2) if the New York State Department of Agriculture & Markets (DAM) has notified NYSERDA that the Bid Facility was not constructed in accordance with the DAM Construction Standards

⁴¹ RESRFP18-1 Project Viability Site Character Map and associated GIS files are available from <https://www.nyserdera.ny.gov/resrfp18-1-resources>

(incorporated herein and made part hereof at Exhibit E), NYSERDA will provide written notice to Seller of DAM's claim and NYSERDA will retain such 20% of the Contract Security until (a) DAM notifies NYSERDA that suitable corrective action has been taken, at which point such amount shall be refunded to the Proposer, or (b) 180 days from the date upon which NYSERDA provided notice to Seller, in which case such amount shall be forfeited to NYSERDA by Seller.

Operating Bid Facilities and external Bid Facilities (those outside of the NYCA) are not eligible for Site Character points.

For the Project Viability – Pledge of Additional Contract Security subcategory, Proposers may pledge to commit amounts above the \$9/MWh minimum initial required Contract Security specified in Section XI(3), to be provided within thirty (30) days of the Award Notification Date. If applicable, Proposers will record the pledge per MWh above the minimum in their Step Three Bid Proposal on the Bid Proposal form. Points will be awarded based on the size of the pledge relative to the maximum proposed pledge of all submissions on a \$/MWh basis. The maximum pledge received will receive 100% of the points allocated to this criterion.

5) Operational Flexibility and Peak Coincidence

In this category, Proposers must provide complete information along with the supporting documentation or requested data to allow for an evaluation of the following two Operational Flexibility and Peak Coincidence subcategories.

- a) Load Matching; and
- b) If applicable, Energy Storage.

See Appendix 3 for a detailed description of the evaluation and scoring process for Operational Flexibility and Peak Coincidence.

a) The Load Matching category evaluates a Bid Facility located in the New York Control Area's (NYCA)'s ability to avoid over-generation or producing energy at times and in locations where production can be problematic. Bid Facilities located within the NYCA will provide a typical year's hourly production profile in an attachment format specified by NYSERDA that is consistent with the output from the Step Two Application for Qualification Threshold Resource Assessment or any updates provided in the Step Three Bid Proposal. External Bid Facilities (those outside of the NYCA) are not eligible for Load Matching points.

b) Energy Storage capabilities and market rules are developing and will evolve as the Energy Storage marketplace matures. Proposers are encouraged to consult with the NYISO and/or any interconnecting utility to ensure that any proposed configuration complies with existing tariffs or other requirements.

A Bid Facility paired with Energy Storage will be eligible for an award if the Energy Storage system is either:

- 1) co-located with the generation behind a single wholesale or retail meter in the NYCA, or
- 2) co-located with the generation behind a separate wholesale or retail meter in the NYCA, or
- 3) located in a separate location from the generation inside the NYCA.

External Bid Facilities (those outside of the NYCA) are not eligible for Operational Flexibility and Peak Coincidence points.

Note that, under the RES Standard Form Agreement (Attachment H), NYSERDA will make payment only for Tier 1 RECs delivered to NYSERDA's NYGATS Account. If the Energy Storage is charged from the co-located renewable generation, the energy discharged from the storage will generate Tier 1 RECs which will be eligible for payment. Should the Bid Facility/Energy Storage facility receive an award, the Proposer will be required, at the time of contracting, to demonstrate to NYSERDA's satisfaction that the project will be configured and metered in a way that will ensure that Tier 1 RECs are created only based on energy generated by the Tier 1 Bid Facility generating facility. Energy Storage facilities that are located separate and apart from the Bid Facility may store energy from the grid but will not create Tier 1 RECs and therefore the associated generation will not be eligible for payment under the RES Standard Form Agreement.

If proposed for inclusion, Energy Storage must have a minimum Energy Storage capability, in Megawatt hours, determined by the Bid Facility's Nameplate Capacity. See Appendix 3 for a detailed description of the minimum Energy Storage requirements.

6) Community Outreach Plan

Proposers will provide a complete description and overview of the public outreach plan associated with the Bid Facility, and if applicable, Energy Storage. If applicable, include information on specific localized support and/or opposition to the project. Describe all outreach activities, status to date, and future plans, highlighting previous interaction(s) with the local jurisdiction(s), and specifying in as much detail as possible (including dates/times and method), interaction(s) with local official(s) (e.g., town supervisor, planning board chief executive, code enforcement officer, other). Proposer should align this response with the list of permits requested in Attachment E. List of Required Permits.

The Community Outreach Plan should describe any local ordinances (including zoning prohibitions or moratoria) that would limit the project's size, location, or schedule, and include Proposer's plans to address these issues. If the Bid Facility or the Energy Storage are not currently zoned or permitted, identify present and required zoning and/or land use designations and provide a plan and timeline to secure the necessary approvals.

The Proposer may provide documentation identifying the level of public support for the Bid Facility (e.g., letters from public officials) or copies of any agreements with any

jurisdiction impacted by the Bid Facility as attachments to the Step Three Bid Proposal in the Additional Documentation section.

7) Public Release of Bid Facility Information

Each Step Three Bid Proposal must be accompanied by a completed Attachment I, Public Release of Bid Facility Information. This document will be posted publicly on NYSERDA's website shortly after the Step Three Bid Proposal deadline. Attachment I must be complete in all respects other than the NYISO Interconnection Queue Number and the Article 10 status fields, which may not be applicable to all submissions. The information in Attachment I must be consistent with and not conflict with other information submitted in the Step Three Bid Proposal. NYSERDA will not redact any information provided on Attachment I. **Attachment I will be made available to the public by NYSERDA soon after Step Three Bid Proposals are received.**

X. STEP THREE BID PROPOSAL EVALUATION

NYSERDA will employ a scoring system comprised of four evaluation components totaling 100 points:

- 1) Incremental Economic Benefits: 10 points
- 2) Project Viability: 10 Points
- 3) Operational Flexibility and Peak Coincidence: 10 Points
- 4) Bid Price: 70 Points

Pursuant to the February 22, 2017 PSC [Order Approving the Phase 1 Implementation Plan](#) and the subsequent [Final Phase 1 Implementation Plan and Final Phase 2 Implementation Plan](#), a Technical Evaluation Panel (TEP), consisting of NYSERDA staff, DPS Staff, and Independent Evaluators (outside reviewers who possess unique proficiency in the evaluation of energy generation projects) will evaluate and award points for the non-price evaluation components of each Bid Proposal.⁴² The Bid Price evaluation will be conducted by NYSERDA. The evaluation for each of these categories is described below.

A. Scoring Criteria

1. Incremental Economic Benefits: 10 Points Maximum

The TEP will evaluate and award up to 10 points to Bid Proposals based on the degree to which each Bid Proposal demonstrates a contribution to the four economic benefits categories listed in Section IX C(3). Only those Incremental Economic Benefits meeting the eligibility criteria and falling within the defined categories in Section IX C(3) will be considered for evaluation. The TEP will award a maximum of 10 points across the four categories in proportion to the level of eligible claims, normalized across all Bid Facilities by dividing each Bid Facility's the eligible claims by each Bid Facility's Bid Capacity (\$/MW). **See Appendix 1 for a detailed description of eligibility and the scoring process for Incremental Economic Benefits.**

⁴² The Order and subsequent Plans are available on NYSERDA's CES Orders, Reports, and Filings website: <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Important-Orders-Reports-and-Filings>

2. Project Viability: 10 Points Maximum

The TEP will evaluate and award up to 10 points to Bid Proposals based on the extent to which the Bid Proposal demonstrates that the Bid Facility has exceeded the Minimum Qualification Thresholds in the five categories listed in Section VII A, the Proposer's commitment to site and construct the project's Permanent Physical Footprint in locations that avoid encroachment on land with agricultural importance to New York State, and the Proposer's offer of additional Contract Security as described in Section IX C(4). The TEP will award a maximum of 10 points across the combined seven subcategories in proportion to the level of achievement demonstrated. **See Appendix 2 for a detailed description of the scoring process for Project Viability.**

3. Operational Flexibility and Peak Coincidence: 10 Points Maximum

The TEP will evaluate and award up to 10 points to Bid Proposals based on the evaluation of Operational Flexibility and Peak Coincidence in the two categories listed in Section IX C(5). The TEP will award a maximum of 10 points across the two categories in proportion to the level of value demonstrated. **See Appendix 3 for a detailed description of the scoring process for Operational Flexibility and Peak Coincidence.**

4. Bid Price: 70 Points Maximum

For evaluation purposes only, Bid Prices will be converted according to the following calculation to allow for an equitable comparison between bids of varying Contract Tenor:

$$\text{Bid Price Evaluation Metric} = \frac{\text{NPV of Expected Contract Payments}}{\text{Bid Quantity} \times \text{Contract Tenor}}$$

Where:

$$\text{NPV of Expected Contract Payments} = \sum_{2018}^{2041} \frac{(\text{Bid Price} \times \text{Calendar Year Bid Quantity})_t}{(1 + i)^{t-2018}}$$

t = Calendar Years 2018 - 2041

i = 6.40%⁴³

- a) Bid Facilities not in Commercial Operation as of the RFP Release Date, will be evaluated as if the Contract Delivery Term commences on December 1, 2020.
- b) Bid Facilities in Commercial Operation as of the RFP Release Date will be evaluated as if the Contract Delivery Term commences on December 1, 2018.

⁴³ The discount rate for Bid Price evaluation (DISCo Discount Rate or DDR) was established by the New York State Department of Public Service Office of Accounting, Audits and Finance.

NYSERDA will employ a maximum acceptable Bid Price Evaluation Metric; NYSERDA will not award a contract for a Bid Facility where the Bid Price Evaluation Metric is above the maximum acceptable Bid Price Evaluation Metric.

Bids will be sorted in ascending order per the Bid Price Evaluation Metric. The lowest bid per the Bid Price Evaluation Metric will receive the maximum points available for the Bid Price component (70 points). For all other bids, points will be awarded in proportion to where a Bid Facility's Bid Price Evaluation Metric falls within the range of all Bid Price Evaluation Metrics (e.g., from lowest Bid Price Evaluation Metric to the highest eligible Bid Price Evaluation Metric). Bids which yield a Bid Price Evaluation Metric above the maximum acceptable Bid Price Evaluation Metric will be ineligible for award.

B. Evaluation & Selection

Selection will be based on the TEP's final ranking, subject to the Portfolio Risk Assessment and the RFP's procurement target.

1. Preliminary Rank Order

A preliminary final ranking of Bid Proposals based on the sum of the TEP points awarded for the non-price categories (Incremental Economic Benefits Category, Project Viability Category, and Operational Flexibility and Peak Coincidence Category), and the points awarded for the Bid Price Evaluation Metric.

2. Portfolio Risk Assessment

Following the development of the preliminary rank order, NYSERDA and DPS, in consultation with the TEP members, will then consider whether to apply the following factors as they may apply to the preliminary award group in making a final award group recommendation, using information provided by the relevant Proposers.

The following portfolio risk assessment limits center around the ability of the portfolio to be constructed at the proposed locations and within the required timeframe. If considering whether to apply any of the limits, NYSERDA and DPS will consider the potential cost impact of such decision (relative to the generation portfolio that otherwise would have been selected), only exercising such a limit should the impact on the generation-weighted average cost of the portfolio increase by less than 10 percent with the application of the portfolio limits.

Such limits will include:

- (a) Diversity of resources: NYSERDA and DPS may constrain any eligible technology to comprise no more than 80 percent (80%) of the award group on an annual generation basis.
- (b) Diversity of owners: NYSERDA and DPS may constrain any owner or affiliate of an owner to comprise no more than 80 percent (80%) of the award group on an annual generation basis.

- (c) Developer limitation: NYSERDA and DPS may limit awards to a specific project owner to a capacity of no more than five times the renewable capacity of the largest project that the owner has successfully brought to commercial operation in the past.

3. Final Award Group

After completing the Portfolio Risk Assessment and any necessary processes below, NYSERDA and DPS will arrive at a final award group. NYSERDA and DPS may also establish a waitlist of Bid Facilities in rank order, for Bid Facility(ies) ranked below those Bid Facilities offered an initial award. Bid Proposals represent offers to contract and must remain open for a period of at least sixty (60) days from the deadline for submittal of a Step Three Bid Proposal.

NYSERDA reserves the right to reject or accept any or all bids. NYSERDA may consider information provided by Proposer in response to Section XIII(E) or otherwise obtained by NYSERDA as to indictments, convictions enforcement proceedings or investigations in accepting or rejecting a bid. NYSERDA also reserves the right to solicit revised Bid Prices and/or to make counteroffers as it deems appropriate. Notification of a re-bid, counteroffer or selection will be made by voice communication and email to the Proposer's Designated Agent(s), as identified on the Step Three Bid Proposal of this RFP. Proposer's Designated Agent(s) must be authorized to respond and to commit to counteroffers on behalf of Proposer.

NYSERDA will then notify Proposers with Bid Facilities contained in the final award group.

XI. POST-AWARD PROCESS

1. Confidentiality

The Proposer shall not distribute any press release or contact the media until after the contract is executed by both parties and any New York State press releases regarding the awards have been issued. If the Proposer wishes to contact the press regarding the award, the Proposer must collaborate with NYSERDA's Large-Scale Renewables Team and the Director of Communications to prepare any press release and/or to plan for any announcement.

2. Provision of Contract for Execution

NYSERDA will prepare a conformed copy of the RES Standard Form Agreement (Attachment H) which will be delivered to the Proposer, in a manner to be agreed upon, for Proposer's execution and return.

NYSERDA may rescind awards to Proposers who fail to provide Contract Security within thirty (30) days of the Award Notification Date or who fail to execute the RPS Standard Agreement within a reasonable amount of time.

3. Provision of Contract Security

Unless otherwise agreed to by NYSERDA in writing, Contract Security in the amount of the product of the Bid Quantity and \$9.00 (plus any Additional Contract Security pledged- see X(B)(5), above) will be required within thirty (30) days of the Award Notification Date.

4. Documents Required for Contracting Purposes

NYSERDA requires the following documents prior to contract execution:

- a) Post-Award Contracting Information Form, to be provided by NYSERDA to Seller, requesting information such as Legal Business Name, State of Incorporation, Tax Identification Number (EIN), and other contractual information.
- b) Pursuant to Tax Law Section 5-a, if not previously filed for the Seller, form Tax Law ST-220-TD is required. Please consult Publication 223, Questions and Answers Concerning Tax Law Section 5-1. If filing for the first time, please indicate the "Seller" under "Contractor name" on the form. This form is filed with the NYS Tax Department and NYSERDA does not need a copy. If previously filed for the Seller, a completed form Tax Law ST-220-CA. On this form, Sellers will indicate to NYSERDA that they have filed the ST-220-TD form or the Seller previously filed ST-220-TD with the Tax Department. As a reminder, please indicate the "Seller" under "Contractor name" on the form.
- c) Certificate of Incorporation
- d) A certificate of an appropriate officer of the Seller, in form and substance certifying: (1) the names and signatures of the officers of the Seller authorized to sign any documents to be delivered to NYSERDA under the conformed RES Standard Form Agreement (Attachment H), and (2) the accuracy and completeness of resolutions of the Seller, authorizing and approving all matters in connection with the transactions contemplated in the conformed RES Standard Form Agreement. NYSERDA does not have a preferred standard. See RES Standard Form Agreement Section 6.04 Additional Documents for additional information.

5. DAM Section 305 Notice information

If the Bid facility is located in a New York State agricultural district, Seller will be required to provide to NYSERDA a report including all of the information required by Section 305(4)(b) of the Agriculture and Markets Law.

A map of the agricultural districts, by county, is available from [New York State Agriculture and Markets](#)⁴⁴.

⁴⁴ New York State Agriculture and Markets Agricultural Districts is available by county at <https://www.agriculture.ny.gov/AP/agsservices/agricultural-districts.html>

XII. SELECT PROVISIONS FROM RES STANDARD FORM AGREEMENT (Attachment H)

Some of the key terms and conditions that will be included in the agreement with proposals that receive an award are listed below. In the event of any inconsistency between the description in the RFP and the Agreement, the terms of the Agreement shall control. Capitalized terms may refer to terms defined in the Agreement (Proposer in RFP = Seller in Agreement).

DEFINITIONS

Commercial Operation Milestone Date: The Commercial Operation Milestone Date shall be November 30, 2020. The Commercial Operation Milestone Date may be extended (see Article II, Purchase and Sale of Rights to Tier-1 Renewable Energy Certificate, Section 2.07 and Article XV, Contract Security).

Defined Percentage(s): The percentages free of overlap selected by Seller in the Project Viability, Site Character section of the Step Three Bid Proposal.

Operational Certification: Under the Orders, a Statement of Qualification (SoQ) must be granted through the Operational Certification process before payment under this Agreement may be made by NYSERDA. Operational Certification verifies that the Bid Facility has been constructed and/or will operate in accordance with the proposal submitted, for which Provisional Certification (PSoQ) was granted and for which an award was made. An Operational Certification application should be submitted after the Bid Facility enters Commercial Operation and the Bid Facility is registered in NYGATS. NYSERDA will also determine whether Seller has complied with Section 18.10 and determine compliance with any Site Character claims. [For Bid Facilities including Energy Storage, NYSERDA will verify the installed Energy Storage Capacity and confirm that it has been installed consistent with the Bid Proposal (see Article IV)]. [For Fuel-Based Bid Facilities, the Seller will be required to provide additional information as outlined in Exhibit D to this Agreement.] Once an SoQ has been issued, NYSERDA will make payments consistent with Section IV.

Permanent Physical Footprint: The area covered by the permanent generation, interconnection and, if applicable, Energy Storage equipment as verified by NYSERDA through the Operational Certification process.

BID FACILITY ELECTRICITY DELIVERY REQUIREMENTS

Section 3.01. Bid Facilities in the NYCA. The electricity associated with the Tier-1 Renewable Energy Certificates for Bid Facilities located within the New York Control Area must either be (1) delivered into a market administered by the NYISO for end-use in New York State, (2) delivered through a wholesale meter under the control of a utility, public authority or municipal electric company such that it can be measured, and such that consumption within New York State can be tracked and verified by such entity or by the NYISO; or (3) delivered through a Dedicated Generation Meter, in accordance with Section 2.10.

Section 3.02. External Bid Facilities. [The electricity associated with the Tier-1 Renewable Energy Certificates for Bid Facilities in control areas adjacent to the New York Control Area shall be scheduled, transmitted, delivered to and settled in the NYISO energy market in each hour, and be accompanied with documentation of a unit-specific contract path between the Injection Point in the control area of origin to the Delivery Point in New York that includes the provision of transmission or transmission rights for delivering the generation via the NYISO using the North American Electric Reliability Corporation (NERC) tag fields Sending and Receiving Control Areas (CA) and Purchasing/Selling Entity (PSE) Name and Number. Compliance with this Delivery Requirement shall be verified by NYGATS which shall require an attestation from the importer that the information contained in the NYISO schedule is accurate and that the electricity associated with the import is being delivered solely from the selected resource. Seller shall provide, at NYSERDA's request, the NERC tag information from the OATI (Open Access Technology International) System or the NY JESS Contract ID from the Joint Energy Scheduling System (JESS) listing the External Bid Facility name as the Source for the scheduled and transmitted electricity from the External Bid Facility into the NYISO. The Tier-1 Renewable Energy Certificates must follow the NYGATS Operating Rules for Unit-Specific Imports of Energy and Attributes under the Energy Scheduled and Delivered methodology. The number of Unit-Specific Import Certificates that will be created will be the lesser of the hourly energy schedule of the import, or the hourly meter reading of the Bid Facility.]

Section 3.03. Bilateral Sales. Bilateral sales for electricity associated with the Quantity Obligation produced by the Bid Facility are permissible provided the Seller can demonstrate that the purchaser of the electricity associated with the Quantity Obligation is a New York State Load Serving Entity (LSE), or one or more New York State end-users.

PAYMENT

Section 4.02. Payment. The amount payable in a given month shall be calculated as the lesser of: (1) the multiplicative product of (a) the Actual Eligible Production of the Bid Facility during the prior month; (b) the Bid Quantity Percentage; and (c) the Bid Price, and (2) the number of Tier-1 Renewable Energy Certificates Transferred into the NYSERDA NYGATS Account during the prior month multiplied by

the Bid Price. NYSERDA will not pay for Tier-1 Renewable Energy Certificates beyond one hundred and twenty percent (120%) of the Bid Quantity for any Contract Year.

Section 4.03. Prompt Payment Policy. NYSERDA will make payments to the Seller in accordance with and subject to its Prompt Payment Policy Statement, attached hereto as Exhibit C. Such payments shall be made by check or wire transfer to an account designated by the Seller. NYSERDA will not pay any invoice not accompanied by all information required in accordance with Section 6.01.

Section 4.04. Suspension. Should NYSERDA determine that Seller has failed to pay at least the Prevailing Wage in accordance with Section 18.10, NYSERDA will notify Seller in writing and will suspend payments to the Seller until any discrepancy in payment is cured; the cure period will continue for 12 months from the date of notification, after which time the Agreement shall be considered in default.

Section 4.05. Maximum Commitment/Limitation. The maximum number of Tier-1 Renewable Energy Certificates NYSERDA shall be obligated to purchase under this Agreement shall be equal to one hundred and twenty percent (120%) of the Bid Quantity (rounded down to the nearest whole REC) multiplied by the Bid Price multiplied by the number of years in the Contract Delivery Term. The maximum aggregate amount payable by NYSERDA to Seller hereunder is (\$ _____.00).

ADJUSTMENTS

Section 5.02. Other Adjustments. NYSERDA may adjust its contractual Payment obligations under this Agreement under the following circumstances:

- (a) NYSERDA may adjust amounts payable to Seller to reflect any costs borne by NYSERDA, if any, for participation in any renewable energy attribute accounting system operating in the Bid Facility's local control area, including all fees and charges, if any, for the delivery, registration and/or retirement of the attributes or certificates in such renewable energy attribute accounting system.
- (b) Should Seller fail to Transfer Tier-1 Renewable Energy Certificates to the NYSERDA NYGATS Account in a number at least 80% of the Bid Quantity for three (3) consecutive Contract Years, NYSERDA may at its option upon Notice to Seller, modify this Agreement by adjusting the Bid Quantity for the remainder of the Contract Delivery Term to equal the highest Actual Annual Eligible Production during any Contract Year over that three-year period multiplied by the Bid Quantity Percentage.
- (c) Should Seller fail to reasonably demonstrate that the total dollar amount of Incremental Economic Benefits having accrued to New York as a result of the development, construction, modification, and operation of the [Bid Facility/Upgrade from the Award Notification Date] through the end of the first three (3) Contract Years of operation (Verified Total Dollars), divided by Installed Bid Capacity, is at

least 85% of Expected Total Dollars divided by the Bid Capacity, NYSERDA may at its option upon Notice to Seller, modify this Agreement by reducing the Bid Price payable for the remainder of the Contract Delivery Term. Such reduction in the Bid Price will be made by an amount equal to the percentage shortfall between the Verified Total Dollars divided by the Installed Bid Capacity compared to the Expected Total Dollars divided by the Bid Capacity.

- (d) Should the Installed Bid Capacity differ from the Bid Capacity, Seller agrees that NYSERDA may at its option upon Notice to Seller modify the Contract by adjusting the Bid Quantity, Bid Quantity Percentage, or other relevant terms to reflect the Installed Bid Capacity.
- (e) For Bid Facilities that include Energy Storage, should the Energy Storage component not reach Commercial Operation with the proposed Storage Capacity (MWh) on or before the Commercial Operation Milestone Date, NYSERDA may, upon Notice to Seller, reduce the Bid Price by \$_____, an amount equal to the difference between the Bid Price proposed by Seller for the Bid Facility with Energy Storage and the Bid Price proposed by Seller for the Bid Facility without Energy Storage.

RECORDS AND REPORTS

Section 6.02. Progress Reports/Material Change. Beginning on the first such date following the Effective Date, and continuing through the commencement of the Contract Delivery Term, Seller shall provide quarterly written Progress Reports to NYSERDA, on March 1, June 1, September 1, and December 1, which reports shall be in letter form, through a method specified by NYSERDA, and which shall describe at a minimum (1) Seller's progress in obtaining and securing all required environmental or other permits and/or local approvals; (2) the status of development and/or construction planning or activities with regard to the Bid Facility; (3) the status of the interconnection process between the Bid Facility and the administrator of the control area; (4) purchases, delivery, and/or installation of any major equipment associated with the Bid Facility; and (5) an estimated date for Commercial Operation. Such reports shall also include an updated Project Schedule Form (RESRFP18-1 Attachment H), copies of any permits or approvals granted and/or copies of any correspondence of any type denying or refusing any permit or approval. Upon NYSERDA's request, Seller shall also provide an independent engineer's or similar third party's assessment of the long-term expected energy production of the Bid Facility. Seller shall notify NYSERDA within ten (10) days of any event that could reasonably cause a material delay in any of the activities listed above. Seller shall include with each Progress Report a written attestation prepared by a New York State independent certified public accountant or other qualified party, in a form to be agreed upon, confirming that the Seller is in compliance with the Prevailing Wage requirement (See Sections 4.04 and 18.10).

Section 6.03. Economic Benefits Report. Within ninety (90) days of the third anniversary of the commencement of the Contract Delivery Term, Seller shall submit an

economic benefits report prepared by a New York State certified, independent certified public accountant, demonstrating the actual Incremental Economic Benefits that resulted from the construction and operation of the Bid Facility. To fulfill this requirement, the Seller's independent certified public accountant will be required to prepare an "agreed upon procedures" report in accordance with the procedures outlined in the Economic Benefits Audit Protocol and Economic Benefits Verification Standards that were released with the Step One Notice of Qualification provided to Seller. The Economic Benefits Audit Protocol will serve as a requirements document to guide the independent audit, allowing auditors to understand the process they are asked to perform. The Economic Benefits Verification Standards will define valid expense claims and standardize submission and documentation processes and best practices. The audit will verify the economic benefits created by the Bid Facility under the categories and within the eligibility requirements listed in RESRFP18-1. The Economic Benefits Report will be funded at the Seller's expense.

Section 6.06. Site Control. Unless otherwise agreed to by NYSERDA in writing, within one hundred and eighty days of the Award Notification Date, Seller shall provide documentation demonstrating rights-of-way or full control of the acreage needed for any interconnection facilities, and, should the Bid Facility site acreage exceed fifteen (15) acres, within one hundred and eighty days of the Award Notification Date, documentation demonstrating full control of the Bid Facility site acreage.

COMMERCIAL OPERATION MILESTONE DATE; EXTENSION OF THE MILESTONE DATE

Section 15.01. Seller shall provide to NYSERDA Contract Security, in the form of cash, certified funds, or a Letter of Credit conforming to the requirements according to the following schedule and conditions:

- (a) Within thirty (30) Business Days of the Award Notification Date, unless otherwise agreed to by NYSERDA, Seller must provide Contract Security in an amount equal to the product of (1) Bid Quantity and (2) nine dollars (\$9.00) [plus any amount pledged by Seller as a part of a RESRFP18-1 Step Two Bid Proposal]. **NYSERDA may rescind and cancel the award to Proposer/Seller under RESRFP18-1 should Seller fail to provide Contract Security within such 30-day period;**
- (b) On or before November 30, 2019, Seller must provide additional Contract Security in an amount equal to the product of (1) Bid Quantity and (2) six dollars (\$6.00). **Failure to provide the additional Contract Security by November 30, 2019 will constitute a default and may result in termination of this Agreement.**

Section 15.02. Extension of Commercial Operation Milestone Date. Seller may elect to extend the Commercial Operation Milestone Date as follows:

- (a) On or before October 30, 2020, Seller may elect to extend the Commercial Operation Milestone Date from November 30, 2020 to May 31, 2021 by providing to NYSERDA, in addition to the amounts provided under Section 15.01 (a) and (b), Contract Security in an amount equal to the product of (1) Bid Quantity and (2) two dollars (\$2.00);
- (b) On or before April 30, 2021, Seller may elect to extend the Commercial Operation Milestone Date from May 31, 2021 to November 30, 2021 by providing to NYSERDA, in addition to the amounts provided under Section 15.01 (a) and (b) and 15.02 (a), Contract Security in an amount equal to the product of (1) Bid Quantity and (2) two dollars (\$2.00);
- (c) On or before October 29, 2021, Seller may elect to extend the Commercial Operation Milestone Date from November 30, 2021 to May 31, 2022 by providing to NYSERDA, in addition to the amounts provided under Section 15.01 (a) and (b) and 15.02 (a) and (b), Contract Security in an amount equal to the product of (1) Bid Quantity and (2) two dollars (\$2.00);
- (d) On or before April 29, 2022, Seller may elect to extend the Commercial Operation Milestone Date from May 31, 2022 to November 30, 2022 by providing to NYSERDA, in addition to the amounts provided under Section 15.01 (a) and (b) and 15.02 (a), (b) and (c), Contract Security in an amount equal to the product of (1) Bid Quantity and (2) two dollars (\$2.00).

Section 15.03. Executed Interconnection Agreement. In lieu of Contract Security Seller may provide under Section 15.02(c) and/or (d), Seller may extend the Commercial Operation Milestone Date from November 30, 2021 to November 30, 2022 by providing to NYSERDA proof that an interconnection agreement has been entered into by the NYISO or its counterpart in an adjacent control area, the Connecting Transmission Owner, and the Seller or a legal representative of the Seller. Bid Facilities seeking to satisfy the electricity delivery requirement through options 2 or 3 of Section 3.01 may provide proof that a comparable interconnection agreement has been entered into with all the necessary sites, service providers and parties that will be enable and permit the transmission of the energy from the Bid Facility to the point of its consumption.

CONTRACT SECURITY REFUND/RETENTION

Section 15.06. Refund of Security. Amounts provided by Seller as Contract Security will be refunded to Seller by NYSERDA as follows:

- (a) In their entirety, upon the achievement by the Bid Facility of an SoQ (Operational Certification) if the Installed Bid Capacity is equal to or greater than the Bid Capacity.

- (b) At a prorated amount, upon the achievement by the Bid Facility of an SoQ (Operational Certification), if the Installed Bid Capacity is less than the Bid Capacity. Such amount that will be refunded, expressed as a percentage of the total Contract Security, will be equal to the Installed Bid Capacity divided by the Bid Capacity.

Section 15.07. Retention of Security. Amounts provided by Seller as Contract Security will be retained by NYSERDA as follows:

- (a) In their entirety if Seller fails to provide to NYSERDA, within thirty (30) days of the Award Notification Date, Contract Security in the amount required under Section 15.01(b), above.
- (b) At a prorated amount if the Installed Bid Capacity is less than the Bid Capacity. Such amount that will be retained, expressed as a percentage of the total Contract Security, will be equal to the Bid Capacity minus the Installed Bid Capacity divided by the Bid Capacity.

Section 15.08. Site Character Security. Where Seller has attested as part of the Site Character section of its Bid Proposal to avoid the encroachment by its Permanent Physical Footprint, in a Defined Percentage(s), on land with agricultural importance to New York State:

- (a) NYSERDA will retain twenty-five percent (25%) of the Bid Facility's Contract Security. Such amount shall be refunded to Seller should NYSERDA determine, through Operational Certification (which will review the final site plan and the Site Character Map provided to Seller), that the percentage of encroachment of the Permanent Physical Footprint of the Bid Facility is equal to or less than the Defined Percentage(s). Such amount shall be forfeited to NYSERDA by Seller should NYSERDA determine, through Operational Certification (which will review the final site plan and the Site Character Map provided to Seller), that the percentage of encroachment of the Permanent Physical Footprint of the Bid Facility is greater than the Defined Percentage(s).
- (b) For wind and solar Bid Facilities where Site Character points were awarded, NYSERDA will retain twenty percent (20%) of the Bid Facility's Contract Security for a period of 365 days following the date upon which the project achieves Commercial Operation. Upon such date, NYSERDA will: (1) refund the retained Contract Security; or (2) if the New York State Department of Agriculture & Markets (DAM) has notified NYSERDA that the Bid Facility was not constructed in accordance with the DAM Construction Standards (incorporated herein and made part hereof at Exhibit E), NYSERDA will provide written notice to Seller of DAM's claim and NYSERDA will retain such 20% of the Contract Security until (a) DAM notifies NYSERDA that suitable corrective action has been taken, at which point such amount shall be refunded to the Proposer, or (b) 180 days from the date

upon which NYSERDA provided notice to Seller, in which case such amount shall be forfeited to NYSERDA by Seller.

PERMITS AND APPROVALS

Section 17.04. Permits and Approvals. The Seller shall be responsible to obtain all applicable permits and regulatory approvals that may be required in order to develop and/or operate the Bid Facility over the duration of the Contract Delivery Term. Neither the RES Program nor selection under RESRFP18-1 in any way replaces or modifies the necessity or applicability of any permit or approval process including SEQRA or Public Service Law Article 10 by any jurisdiction. NYSERDA's obligations to make payments to Seller are conditional on the acquisition by Seller of all such permits and approvals. Upon request by NYSERDA Seller must demonstrate such acquisition and/or provide copies of all permits and approvals acquired. Seller shall provide prompt Notice to NYSERDA of the initiation of any criminal or regulatory investigation, hearing, proceeding, or review process ("Process") by any federal or State entity regarding any actual or alleged violation of any permit or approval obtained or applied for with respect to the Bid Facility, as well as of any modification, penalty and/or fine that may be imposed or occur as a result of such a Process or violation. Upon the filing by Seller of an Article 10 Application, Seller shall promptly notify NYSERDA and shall comply with any restrictions NYSERDA may impose regarding communication with NYSERDA staff.

CONDITIONS/CONTINGENCIES

NYSERDA may include conditions and/or contingencies to address matters concerning any issues regarding the viability or siting of a project, or where the build environment is contingent or conditional on governmental rescission, modification or change in local law, temporary or permanent.

XIII. GENERAL CONDITIONS

A. Proprietary Information

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

including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserdanewyork.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>.

However, NYSERDA cannot guarantee the confidentiality of any information submitted. NYSERDA reserves the right to make public, after the fifth anniversary of the award date, the RES Standard Form Agreement (Attachment H) executed with any awarded project.

B. State Finance Law Sections 139-j and 139-k

NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html> Application for Qualification form (Attachment B) calls for a signature certifying that the Proposer will comply with State Finance Law sections 139-j and 139-k and a disclosure statement regarding whether the Proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

C. Tax Law Section 5-a

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

D. Omnibus Procurement Act of 1992

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

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

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

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

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

E. Disclosure Requirement

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

F. Confidentiality

The Proposer shall not distribute any press release or contact the media until after the contract is executed by both parties and any New York State press releases regarding the awards have been issued. If the Proposer wishes to contact the press regarding the award, the Proposer must collaborate with NYSERDA's Large-Scale Renewables Team and the Director of Communications to prepare any press release and/or to plan for any announcement. NYSERDA reserves the right to make public, after the fifth anniversary of the Award Notification Date, the RES Standard Form Agreement (Attachment H) executed with any awarded project.

XIV. LIST OF ATTACHMENTS

Appendix 1 – Incremental Economic Benefits Appendix
Appendix 2 – Project Viability Appendix
Appendix 3 – Operational Flexibility and Peak Coincidence Appendix

Attachment A – Instructions for Electronic Submission of the Application for Qualification
Attachment B – Application for Qualification Form
Attachment C – Summary Description of Control Status by Parcel
Attachment D – Environmental Assessment Form
Attachment E – List of Required Permits
Attachment F – List of Project Development Experience
Attachment G – List of Project Financing Experience
Attachment H – RES Standard Form Agreement
 Exhibit A – Standard Terms and Conditions for all NYSERDA Agreements
 Exhibit B – Letter of Credit
 Exhibit C – Prompt Payment Policy Statement
 Exhibit D – Requirements for Biomass-Fueled Bid Facilities
 Exhibit E – Department of Agriculture and Markets Construction Standards
Attachment I – Public Release of Bid Facility Information

APPENDIX 1 – INCREMENTAL ECONOMIC BENEFITS APPENDIX

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INTRODUCTION

The Bid Proposal evaluation process for RES Tier 1 REC solicitations includes the application of an Incremental Economic Benefits evaluation that makes up 10% (10 points) of the overall Step Three scoring as described in Section IX(C)(3) Incremental Economic Benefits of the RFP. The inclusion of the Incremental Economic Benefits evaluation reflects the importance of positive impacts of the RES procurements on New York's economy. The Incremental Economic Benefits criterion employed in this RFP is intended to differentiate bids based on their effectiveness at meeting this objective.

In submitting a Step Three Bid Proposal, Proposers will be invited to demonstrate all the necessary information and documentation to evaluate the Bid Facility for its contribution to each category. NYSERDA may request additional documentation as a part of its review of Step Three Bid Proposals.

Incremental Economic Benefits are those that a Proposer can demonstrate: (1) will accrue after an award from this RFP, and (2) would not have accrued but for the award of a contract under this RFP. Only those Incremental Economic Benefits falling within the categories defined below will be considered, and in no instance will NYSERDA or its Technical Evaluation Panel (TEP) consider any indirect benefits or those created by any "multiplier effect" or other attribution method under which the creation of peripheral spending and jobs might be credited to direct capital infused into the economy. Proposers are not permitted to apply escalation rates or cost of living adjustments.

Incremental economic benefits previously claimed with respect to a Bid Facility that is subject to a pending award under a previous solicitation or that is the subject of a current NYSERDA RPS or RES Standard Form Agreement are not eligible for evaluation.

All laborers, workmen and mechanics, within the meaning of NYS Labor Law Article 8, performing construction activities with respect to the Bid Facility and Energy Storage, if applicable, including, but not limited to, the staging, installation, erection and placement of Bid Facility and its electrical interconnection as well as start-up and commissioning of the Bid Facility, whether through long-term or short-term employment, must be paid at least the applicable Prevailing Wage applicable in the area where the Bid Facility will be situated, erected and used, as published by the [NYS Department of Labor](#) (DOL)⁴⁵ or at least the equivalent Prevailing Wage requirements of the jurisdiction where the Bid Facility is located. This requirement applies: (1) to all laborers, workmen and mechanics performing construction activities, whether they be direct employees of the Seller or of Seller's subcontractor(s), and (2) regardless of whether or not Seller claimed such employment as an Incremental Economic Benefits in its Bid Proposal.

⁴⁵ For NYS DOL Prevailing Wage Schedules, please visit:
<https://applications.labor.ny.gov/wpp/publicViewPWChanges.do?method=showIt> and
<https://applications.labor.ny.gov/wpp/showSearchWageSchedulePublic.do?method=showIt>

NYSERDA will audit the Seller's payment practices as part of Operational Certification as described in Appendix 1. Should NYSERDA determine the Seller has failed to pay at least the Prevailing Wage, NYSERDA will notify Seller in writing and suspend payments to the Seller until any discrepancy in payment is cured; the cure period will continue for 12 months from the date of notification, after which time the Agreement will be considered in default.

Independent audit and verification of the actual Incremental Economic Benefits of the Bid Facility and comparison to the level of claimed Incremental Economic Benefits will be required after the first three years of the Contract Delivery Term, as described in Section XII.

As described in Section XII of the RFP, independent verification of the actual Incremental Economic Benefits of the Bid Facility, and comparison to the level of claimed Incremental Economic Benefits (Expected Total Dollars), will be required after the end of the first three years of the Contract Delivery Term where the Bidder will submit an economic benefits report prepared by a New York State certified, independent certified public accountant, demonstrating the actual Incremental Economic Benefits that resulted from the construction and operation of the Bid Facility under the categories and within the eligibility requirements listed in the RFP. The Economic Benefits Report will be funded at the Bidder's expense. Should the Bidder fail to reasonably demonstrate that the total dollar amount of Incremental Economic Benefits divided by Installed Bid Capacity, is at least 85% of Expected Total Dollars divided by the Bid Capacity, NYSERDA may at its option upon Notice to Seller, modify the Agreement by reducing the Bid Price payable for the remainder of the Contract Delivery Term.

INCREMENTAL ECONOMIC BENEFITS CATEGORIES

The total of 10 points for Incremental Economic Benefits has been distributed among four categories. The Proposer will provide the Expected Total Dollars for each category; the Expected Total Dollars will then be divided by the Bid Capacity of the Bid Facility for TEP evaluation purposes only.

The following table lists the Incremental Economic Benefits categories and the points available in each.

	Category	Maximum Points Awarded
1	Long-Term New York State Jobs	3.0
2	Payments/Benefits to New York State and/or its Municipalities	2.7
3	Payments for Renewable Fuels and Resource Access	2.3
4	In-State Purchases, Consumption of Goods, and Short-term Employment	2.0

The remainder of this Appendix will present the individual informational components of each of the four evaluation categories that make up the Incremental Economic Benefits criterion.

CATEGORY 1: LONG-TERM NEW YORK STATE JOBS

Describe the degree to which the operation of the Bid Facility will directly create (add) long term jobs (jobs lasting more than 3 years) in New York. Examples of such jobs include, but are not limited to, those associated with operations and maintenance, plant management, or similar. List and describe the type of jobs including the position title, specific role and responsibilities, and the expected duration of such jobs. Provide the number of jobs, in Full Time Equivalents (FTEs), and the expected average annual salary/and or total compensation and direct benefits (excluding overhead for normal operations) for all jobs. Provide expected total dollars for compensation/salaries and benefits from the Award Notification Date through the end of the first three (3) Contract Years of operation (Expected Total Dollars).

CATEGORY 2: PAYMENTS/BENEFITS TO NEW YORK STATE AND/OR ITS MUNICIPALITIES

Describe the degree to which the operation of the Bid Facility will provide new or increased local property tax revenues to school districts, cities, towns or other taxing jurisdictions in New York, or alternatively, Payments in Lieu of Taxes (PILOT) or other alternative taxing mechanisms and forms of compensation. List and describe separately all tax payment, PILOT arrangements and/or “host” community payment agreements with all affected New York jurisdictions. All other taxes, including New York State sales taxes and local sales taxes, paid by Seller are eligible only under Category 4. Provide expected total dollars paid to all taxing jurisdictions and municipal entities from the Award Notification Date through end of the first three (3) Contract Years of operation (Expected Total Dollars).

CATEGORY 3: PAYMENTS FOR RENEWABLE FUELS AND RESOURCE ACCESS

Describe the degree to which the operation of the Bid Facility will provide royalties, production-based payments, land lease or land use payments or other forms of compensation, including land purchase payments associated with securing rights to or

directly acquiring fuel or access to wind resources for the Bid Facility (e.g., wind, biomass, biogas). Examples include payments for leases of land in New York, payments associated with the production of electricity, fuel purchases of biomass sourced or harvested in New York, and purchases for landfill gas produced in New York. Payments for non-renewable fuels such as natural gas are not eligible for consideration in this category or any Economic Benefits category. Provide total dollars expected to be paid from the Award Notification Date through the end of the first three (3) Contract Years of operation (Expected Total Dollars).

CATEGORY 4: IN-STATE PURCHASES, CONSUMPTION OF GOODS, AND SHORT-TERM EMPLOYMENT

Describe the degree to which local and state economic activity will increase as a result of:

- a) the purchase and consumption of local goods and services, such as, but not limited to, food, lodging, vehicles, equipment, fuel, and/or
- b) the purchase of materials sourced from within New York such as, but not limited to, gravel, steel, concrete and similar materials and/or the purchase and use of equipment and products manufactured or assembled within New York and/or the use of rental equipment or similar supplies sourced from within New York. Wind turbine components not manufactured within New York State will not be considered and should not be included, and/or
- c) ongoing operations and maintenance expenses which are anticipated through the first three (3) years of Commercial Operation, and/or
- d) employment of New York workers on a short-term basis (less than 3 years). Illustrative examples include direct employment of NYS construction, rail and port workers, contractors and laborers, engineering or environmental service providers, consultants, financial service advisors, and legal service providers associated with the development and construction/modification of the Bid Facility. List and describe the type of jobs and the expected duration of such jobs. Provide the number of jobs, in Full Time Equivalents (FTEs), and the expected average annual salary and benefits for all jobs. Provide expected total dollars for salaries and benefits through the first three (3) Contract Years of operation.

List each type of purchase, service, or employment that will be used and provide total dollars, including New York State and local sales taxes, expected to be spent on all the purchases, consumption of local/in-state goods, or short-term employment from this category from the Award Notification Date through the end of the first three (3) Contract Years of operation (Expected Total Dollars).

APPENDIX 2 - PROJECT VIABILITY APPENDIX

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INTRODUCTION

The Bid Proposal evaluation process for RES Tier 1 REC solicitations includes the application of a Project Viability evaluation criterion that makes up 10% (10 points) of the Step Three scoring as described in Section X(2), Project Viability of the RFP. The inclusion of the Project Viability evaluation reflects the importance of project feasibility and ultimate project completion toward meeting the RES procurement goals. Proposers will initially submit information and attachments with their Step Two Application for Qualification packages that will confirm that the Bid Facility meets the required Minimum Threshold Qualification Criteria, though Proposers may include with their Step Two application documentation that they have exceeded the Minimum Threshold Qualification Criteria in any of the categories (see Section VII).

If the progress by a Bid Facility exceeds the minimum threshold in any category, documentation as to the additional level of progress achieved should be provided by the Proposer in Step Two.⁴⁶ As a part of the Step Three Bid Proposal, Proposers will be also be invited to demonstrate that they have exceeded the required Minimum Threshold Qualification Criteria, including but not limited to any additional progress made between the submittal dates for Steps Two and Three.

As a part of the Step Three evaluation, the TEP will award additional points to generation facilities that have demonstrably exceeded the Minimum Threshold Qualification Criteria under the individual Project Viability categories described below. Projects achieving only the Minimum Threshold Qualification Criteria will receive no points in the appropriate Project Viability category.

PROJECT VIABILITY CATEGORIES

The total of 10 points for Project Viability has been distributed among seven categories. For Categories 1 through 6, each Bid Proposal will be eligible for the maximum points available in that category, depending on the extent to which it exceeds the Minimum Qualification Thresholds. For Category 7, points will be awarded in a manner proportionate to the amount of additional Contract Security pledged as compared to all other Bid Proposals.

⁴⁶ For example, under Category 2, Interconnection, for a 20 MW Bid Facility subject to NYISO jurisdiction, the documentation required to demonstrate achievement of the minimum threshold consists of either (i) a submitted interconnection request or (ii) prepared drafts of all initial interconnection application documents such that they can submit initial documentation within 3 months following an award from NYSEERDA. If a Feasibility, System Impact, or Facilities Study has, in fact, been executed, attach a copy. The Study will satisfy the Minimum Qualification Threshold and will also be considered as a part of the Project Viability evaluation in Step Three.

The following table lists the Project Viability categories and the points available in each:

	Project Viability Category	Maximum Points Awarded
1	Site Control	2.0
2	Interconnection	2.0
3	Permitting	1.5
4	Project Development	1.0
5	Resource Assessment	1.0
6	Site Character	1.5
7	Contract Security Above the Minimum	1.0

The remainder of this Appendix will present the individual informational components of each of the seven evaluation categories that make up the Project Viability criterion. **The tables shown below provide relevant details on descending levels of progress within each category.**

PROJECT VIABILITY CATEGORY 1: SITE CONTROL

The Site Control evaluation category has two subcategories: Generation Facility Site Control, and Interconnection Right-of-Way (ROW) Site Control.

The Minimum Qualification Thresholds for Site Control are described in Section VII of RESRFP18-1. They require that the Proposer at least have entered *an exclusivity agreement or letter of intent* with the site owner(s) for percentages of the site (depending on site size) and the Interconnection Right-of-Way.

Generation Facility Site Control will be evaluated according to the proportion of the total land area where the Bid Facility and interconnection facilities are or will be sited that the Proposer has under its control through *ownership, easement, executed lease or executed binding option for ownership or lease*.⁴⁷

The Project Viability evaluation will award points based on the demonstration of additional site ownership or control. Proposed Bid Facilities that are currently in operation will receive maximum points awarded for this category.

⁴⁷ Note that the Minimum Threshold Qualification Criteria require the existence of exclusivity agreements or letters of intent. In order to receive additional points under Step Three, Proposers will be required to have ownership interests or lease agreements enforceable by the Proposer without further material agreement with the owner(s).

PROJECT VIABILITY CATEGORY 1.A: GENERATION FACILITY SITE CONTROL

Generation Facility Site Control Criterion		
Measure of Generator Site Control	Percent of Site Controlled (as a % of total parcel area)	Maximum Points Awarded
Own, executed lease for, easement for, or executed binding option for a parcel	100%	1.50
Own, executed lease for, easement for, or executed binding option for a parcel	75%	1.25
Own, executed lease for, easement for, or executed binding option for a parcel	50%	1.00
Own, executed lease for, easement for, or executed binding option for a parcel	25%	0.50

PROJECT VIABILITY CATEGORY 1.B: INTERCONNECTION RIGHT-OF-WAY CONTROL

Interconnection right-of-way (ROW) control will be evaluated and awarded points under Step Three by the level of progress toward ROW control that the Proposer has achieved through either *ownership, executed lease, executed option, or by virtue of the interconnection ROW being controlled by or assignable to the interconnecting utility* that will own interconnection facilities. Proposed Bid Facilities that are currently in operation will receive maximum points awarded for this category.

Interconnection ROW Control Criterion	Maximum Points Awarded
100% of total area is either (i) owned, executed lease for, easement for, or executed binding option by the Proposer, <u>or</u> (ii) controlled by or assignable to the interconnecting utility that will own interconnection facilities	0.50
50% of total area is either (i) owned, executed lease for, easement for, or executed binding option by the Proposer, <u>or</u> (ii) controlled by or assignable to the interconnecting utility that will own interconnection facilities	0.25

SUPPORTING DOCUMENTATION REQUIRED FOR SITE CONTROL

Unless the Bid Facility is currently in operation, the Proposer may demonstrate that it has exceeded the Minimum Threshold Qualification Criteria for Generation Facility and ROW Site Control by providing updated site control maps and summary descriptions by parcel, demonstrating the percentage of the site controlled.

PROJECT VIABILITY CATEGORY 2: INTERCONNECTION

Proposer demonstration of progress toward generation facility interconnection (IC) differs based on the size of the generation facility and the jurisdictional authorities governing the interconnection (i.e., FERC, a regional transmission operator,⁴⁸ a state agency, or a non-US agency).

The following two tables present the criteria that will be used to evaluate interconnection progress exceeding the Minimum Qualification Threshold. The first table is relevant to most grid-connected generators in the United States and the second table is relevant to Canadian generators, generators not in other categories, and eligible behind-the-meter (BTM) generators.

The Project Viability evaluation will award points based on the demonstration of progress in the interconnection process; Bid Facilities in operation or those with executed IC agreements will be awarded the maximum points available for this category.

⁴⁸ New York Independent System Operator (NYISO) or adjacent RTOs that include New England Independent System Operator (NE-ISO) and PJM.

Grid-Connected Generators (U.S.)

Large Generator (>20 MW) NYISO or similar IC Authority in Adj. U.S. Control Area ⁴⁹	Small Generator (up to 20 MW) NYISO or similar IC Authority in Adj. U.S. Control Area ⁵⁰	Small Generator Non-FERC Interconnection ⁵¹	Maximum Points Awarded
Operating/interconnected, or executed IC agreement or equivalent relevant to scale and jurisdictional requirements			2.0
Evidence provided that Facilities Study is complete, and Proposer has accepted the Cost Allocation, or equivalent evidence of progress	Evidence provided that the utility company has completed the Coordinated Electric System Interconnection Review (CESIR), or equivalent evidence of progress		1.6
Evidence provided that Feasibility Study and System Impact Study (SIS) (or equivalent) are complete. Documentation of agreement with ISO has been reached to forego either of these, if relevant	[no process equivalent, n/a]		1.2
Evidence provided that Feasibility Study (or equivalent) is complete	Evidence provided that utility has provided at least a Preliminary Analysis Report (or equivalent) that indicates the project is feasible including cost estimate for any required upgrades		0.6

⁴⁹ FERC Jurisdiction, Large Generator Interconnection

⁵⁰ FERC Jurisdiction, Small Generator Interconnection, inclusive of 2 MW Fast Track

⁵¹ Connecting Transmission Owner (CTO) Interconnection under state jurisdiction (typically utility distribution less than 5MW).

Canadian Generators, Generators Not in Other Categories, Eligible BTM Generators

Ontario & Quebec; Generators not in another category	Behind-the-Meter Generators (if eligible)	Maximum Points Awarded
Operating, interconnected, or has secured Ontario Energy Board Leave to Construct or a Generator License or equivalent.	Operating/interconnected.	2.0
Evidence provided that facilities study or equivalent is complete, and Proposer has accepted the cost allocation	Formal determination from the interconnecting utility resulting from a completed feasibility study that IC is permissible	1.6
Evidence provided that feasibility study and System Impact Study (SIS) (or equivalent) are complete. Documentation of agreement with IC authority has been reached to forego either of these, if relevant	Determination from the interconnecting utility that IC is feasible but that further study is necessary	1.2
Evidence provided that System Feasibility Impact Study (for IESO) (or equivalent) is complete	Informal determination from the interconnecting utility that IC is feasible	0.6

SUPPORTING DOCUMENTATION REQUIRED FOR INTERCONNECTION

The Proposer may demonstrate that it has exceeded the Minimum Threshold Qualification Criteria for Interconnection by providing the following documents with

either its Step Two Minimum Application for Qualification (preferred) or its Step Three Bid Proposal:

- A brief narrative summary of IC status including (but not limited to) stage of IC process completed (with applicable dates) and underway (with expected dates), IC authority, and if applicable, queue numbers.
- Copies of associated agreements or other evidence (required fees have been paid) supporting the claimed level of progress as listed in the tables above.

PROJECT VIABILITY CATEGORY 3: PERMITTING

The following two tables present the criteria necessary to evaluate permitting progress in excess of the Minimum Qualification Thresholds. The first table covers informational requirements for wind, ground mounted solar, biomass, biogas, hydroelectric, and generators in other jurisdictions. The second table covers informational requirements for building mounted solar, fuel cells, and ocean and tidal energy facilities.

The Step Three Project Viability evaluation will award points based on the level of progress in the permitting process; projects in operation or those that have acquired all non-ministerial necessary permits and approvals will be awarded the maximum points available for this category.

Wind, Ground-Mounted Solar, Biomass/Biogas, Hydro

Hydroelectric in U.S. Jurisdictions ⁵²	Wind, Ground-Mounted Solar in NY	Biomass / Biogas in NY	Wind, Ground-Mounted Solar, Biomass or Biogas Requirements for Jurisdictions other than NY, and Canadian Hydroelectric	Maximum Points Awarded
Bid Facility is already operating, has permission to operate or has secured all non-ministerial permits.				2.0
Draft application including an Environmental Impact Report or Preliminary licensing proposal submitted	All requirements under State Environmental Quality Review Act (SEQRA) fully defined or fulfilled. Letter of negative declaration or conditional negative declaration from lead agency; or final Environmental Impact Statement (EIS) accepted. If applicable, provide documentation that Article 10 hearing has been conducted.		All requirements for environmental approval defined or fulfilled (e.g. Environmental Compliance Approval [ECA] or Environmental Activity and Sector Registry [EASR] registration in Ontario; Environmental Quality	1.5

⁵² This approach does not reduce points for hydroelectric licenses that may expire during the proposed contract term.

Hydroelectric in U.S. Jurisdictions ⁵²	Wind, Ground-Mounted Solar in NY	Biomass / Biogas in NY	Wind, Ground-Mounted Solar, Biomass or Biogas Requirements for Jurisdictions other than NY, and Canadian Hydroelectric	Maximum Points Awarded
			Act [EQA] assessment in Quebec)	
Provide Environmental Impact Study Plan	Letter or signed approval form demonstrating that Local Zoning/ Ordinance requirements (such as Special Use/ Conditional Use Permit [SUP/CUP] or Permit by Rule [PBR] satisfied	Letter or signed approval form demonstrating that Local Zoning/ Ordinance requirements (such as CUP/SUP/PBR) satisfied. Draft Air Permit issued for review by New York State Department of Environmental Conservation (DEC) or equivalent authority	Local Zoning/Ordinance requirements satisfied (e.g. confirmation / comment letters from Ministry of Natural Resources [MNR] and Ministry of Tourism, Culture and Sport [MTCS] [ON] obtained)	1.0

Building Mounted Solar, Fuel Cells, Ocean and Tidal, All Jurisdictions

Building-Mounted Solar	Fuel Cells	Ocean & Tidal⁵³	Maximum Points Awarded
Operating or has secured all permits	Operating or has secured all permits	Bid Facility is already operating, has permission to operate or has secured all non-ministerial permits.	2.0
In addition to meeting all requirements below, all other ministerial permit applications submitted consistent with list provided in Threshold Qualification requirements	In addition to meeting all requirements below, all other ministerial permit applications, and air permit application, submitted consistent with list provided in the Threshold Qualification requirements	All requirements for environmental approval defined or fulfilled (e.g. ECA or EASR registration in Ontario; EQA assessment in Quebec)	1.5
Copy of construction permit issued by local jurisdictional authority	Copy of construction permit issued by local jurisdictional authority. For projects requiring zoning applications, letter or signed approval form demonstrating that local zoning/ ordinance requirements satisfied.	Evidence that the key environmental & siting permit needed to proceed with the project is complete	1.0

SUPPORTING DOCUMENTATION REQUIRED FOR PERMITTING

The Proposer may demonstrate that it has exceeded the Minimum Threshold Qualification Criteria for Permitting by providing the following documents with either its Step Two Application for Qualification (preferred) or its Step Three Bid Proposal:

⁵³ To meet the “Key environmental & siting permit needed to proceed with the project is complete” scoring level, facilities must demonstrate that all FERC and state environmental/siting permits are complete, and all other non-ministerial environmental/siting documents are approved or under final review. The key environmental/siting permits are those that are necessary for construction of the Bid Facility to proceed. To demonstrate that other documents are approved or under final review, the Proposer must identify all necessary permits and the status associated with their review and approval.

- List of permits and approvals and evidence supporting level of progress (e.g. letters, permits) as described in the tables above.

PROJECT VIABILITY CATEGORY 4: PROJECT DEVELOPMENT

The bidding company or the principals in its development team will be evaluated according to the extent of their prior experience in successfully developing similar projects.

The Step Three Project Viability evaluation will award points based on the level of Project Development experience demonstrated; proposals that demonstrate the development of two or more facilities of comparable scale⁵⁴ and similar technology,⁵⁵ at least one of which is in the state in which the Bid Facility is located, will be awarded the maximum points available for this category. NYSERDA will not consider aggregated portfolios of generation facilities as a project under this criterion. Proposed Bid Facilities that are currently in operation will receive maximum points awarded for this category.

Developer / Corporate Experience ⁵⁶	Maximum Points Awarded
Have developed two or more facilities of at least 50% of the Bid Facility's capacity and similar technology. One of the facilities developed is in the same state in which the Bid Facility is located.	1.0
Have developed one or more facilities of at least 50% of the Bid Facility's capacity and similar technology in the state in which the facility is located.	0.8
Have developed one or more facilities of at least 50% of the Bid Facility's capacity and similar technology, or two or more facilities of any renewable energy technology of at least 50% of the Bid Facility's capacity.	0.6
Have developed two or more facilities of any renewable energy technology of at least 25% of the Bid Facility's capacity.	0.4
Have developed one or more facilities of any renewable energy technology of 25% of the Bid Facility's capacity, or with renewable energy projects which in aggregate are of equal total Bid Facility's capacity.	0.2

⁵⁴ Comparable scale is 50% or more of the proposed capacity.

⁵⁵ Similar technology is the same resource and prime mover, e.g. solar, wind. It is not meant to distinguish between different solar technologies, for example.

⁵⁶ The bidding company or the principals in its development team must have the required experience successfully developing projects as indicated in this table. Experience of vendors or contractors to the bidding company or the principals in its development team **do not count** towards this experience requirement.

SUPPORTING DOCUMENTATION REQUIRED FOR PROJECT DEVELOPMENT

Unless the Bid Facility is currently in operation, the Proposer may demonstrate that it has exceeded the Minimum Threshold Qualification Criteria for Project Development by providing the following documents with its either its Step Two Application for Qualification (preferred) or Step Three Bid Proposal:

- Provide in Attachment F a List of specific projects successfully developed, specifying the nameplate capacity, technology⁵⁷, commercial operation date (COD), and location supporting the claimed scoring level; for each project, identify whose experience is being claimed (e.g., corporate or specific individual that is a Proposer principal). If available, provide an external reference (for example, newspaper article or website link) to projects successfully developed.

PROJECT VIABILITY CATEGORY 5: RESOURCE ASSESSMENT

Proposers may provide a P(50) refined Resource Assessment for the Bid Facility, and if applicable, Energy Storage including the supporting documentation described below for up to 1.0 points.

Resource Assessment Criterion	Maximum Points Awarded
Refined Resource Assessment for Solar, Wind, Hydroelectric, Fuel Cell, Ocean/Tidal, or Biomass/Biogas Bid Facilities as specified by eligible technology below.	1.0
Resource Assessments that fall between the Minimum Threshold requirement and the Resource Assessment standard specified below may receive partial points at the discretion of the Technical Evaluation Panel.	Between 0 – 0.9

Refined Resource Assessments must be consistent with the Bid Facility, and if applicable, Energy Storage, as proposed to NYSERDA. A refined Resource Assessment is more specific than the Resource Assessment required in the Step Two Application for Qualification (Section VII), and is based on the Bid Facility's technology, design, and site-specific location. It is prepared by a qualified independent 3rd-party (meteorologist, modeler, engineer, or analyst) with expertise in Resource Assessments for the Bid Facility's technology and is considered to be of financing-quality. The experience and/or credentials of the energy estimate's analyst/author need to be identified. In order to receive additional points, the requirements for the Bid Facility Resource Assessment are based on the Bid Facility's technology as follows and are comprised of:

⁵⁷ Categorized by resource and prime mover, e.g. solar; e.g., wind. Not meant to distinguish between different solar technologies, for example.

- 1) A refined Energy Estimate, which approximates the availability of the renewable resource to be used by the Bid Facility.
- 2) A refined Production Estimate, which estimates the Bid Facility's ability to convert the renewable resource to electric power.

Solar

An acceptable refined Resource Assessment includes a refined Energy Estimate and a refined Production Estimate as described below:

- 1) Refined Energy Estimate is produced using a low uncertainty data set and location proximate to Bid Facility location, using a Global Horizontal Irradiance (GHI) resource data set with less than or equal to 5% uncertainty, and within 5 km of the Bid Facility project site.
- 2) Refined Production Estimate which is based on an hourly P(50) 8760 that incorporates the refined Energy Estimate described above, and includes:
 - a. Use of an advanced performance model, such as: PVSyst (v.6 or later), Helioscope (web-based) or System Advisory Model (SAM, v.2017 or later);
 - b. Monthly soiling profile that reasonably captures the effects of winter snowfall;
 - c. A detailed shading model that describes row pitch, heights, collator widths and tilts;
 - d. Reasonable availability loss assumptions; and
 - e. Site temperature data, module temperature coefficients and electrical losses.

Wind

An acceptable refined Resource Assessment includes a refined Energy Estimate and a refined Production Estimate as described below:

- 1) Refined Energy Estimate which characterizes the P(50) long-term hub-height wind conditions across the project area that includes:
 - a. Monitoring Campaign: One (1) full year of data at the Bid Facility site with meteorological towers at least 2/3 of planned hub height of Bid Facility turbines. Towers must be equipped with 1) high quality wind speed, direction and temperature sensors and 2) sonic detection and ranging (sodar) and/or light detection and ranging (lidar) remote wind speed sensors.
 - b. Data Analysis: The independent 3rd-party must describe the methods used to perform 1) climatological data adjustment with one or more specified high quality reference stations 2) quality control, assurance and validation including adjustments performed to treat erroneous, bad, and/or suspect measurements (e.g., removal and/or treatment of sensor failure, icing, tower shadow, etc.), 3) Data Gap Reconstruction, and 4) Sensor measurement adjustment. Description should include stations used, the relationship(s) with the observed data, and assessment of their quality.
 - c. Vertical and Horizontal Extrapolation: A description of the 1) vertical extrapolation method and results in the context of the observations on site and the regional climatology, 2) wind flow modeling approach, that includes the model(s) used,

model configuration and input data, use of onsite data and estimate of the model performance at the site.

- 2) Refined Production Estimate based on the refined Energy Estimate and including at least 10 years of long-term average wind resources (measured or modelled) combined with a Bid Facility specific project configuration (i.e., turbine characteristics, layout, site conditions, and losses). The refined Production Estimate which is based on an hourly P(50) 8760 schedule that considers long-term, net energy production presented on an annual and/or project life time scale. The refined Production Estimate must include:
 - a. Turbine performance characteristics shall be defined as accurately as possible for site conditions, including density-adjusted power curves, cut-out and restart values, special operating packages (e.g. cold temperature packages), and any other site-specific operational characteristics;
 - b. Turbine layout including the Bid Facility and any known adjacent turbine locations that may impact the Bid Facility);
 - c. Curtailment criteria estimation including any known or expected curtailments associated with permitting (e.g. bat curtailments, noise curtailments), or grid conditions (e.g. grid-mandated curtailments);
 - d. Detailed estimates of project technical losses and/or efficiencies associated with the six standard loss categories (technical losses are defined in Section VII);
 - e. Detailed estimates of wind resource and energy production uncertainties, including a total uncertainty on the net energy estimate;
 - f. Identification and description of the methods and/or software employed for assessing gross and net energy production, including the wake model(s). Eligible software packages include, but are not limited to:
 - o OpenWind: <https://www.awstruepower.com/software/openwind/>
 - o Wind Farmer: <https://www.dnvgl.com/services/windfarmer-3766>
 - o WindPro: <https://www.emd.dk/windpro/>
 - o WindFarm: <http://www.resoft.co.uk/>

Hydroelectric

An acceptable refined Resource Assessment includes a refined Energy Estimate and a refined Production Estimate as described below:

- 1) Refined Energy Estimate characterizes expected P(50) stream flow from USGS gauges and net head assumptions for the Bid Facility Site, calculated based on hourly average flow values derived from a robust set of relevant historical flow data, accounting for uncertainty and site-specific factors:
 - a. Historical stream flow data sourced from USGS gauges or similar (if not USGS, describe) that 1) are based on average daily flow values for a minimum of 20 consecutive years, 2) includes and identifies the distance of the gauge from the site and any adjustment(s) made to calibrate measured values to expected flow available at the site, 3) specifies the timeframe during which the evaluation process took place;
 - b. Net head (gross head minus the hydraulic losses of the waterways) calculations specific to the Bid Facility site and time of year;

- c. Inclusion of any existing known operating limitations on dam or river system (seasonal minimal flows, flood control storage, permit restrictions, etc.) including flows available from upstream projects;
 - d. An assessment of the risk/uncertainty associated with water flow;
 - e. An assessment of sedimentation impacts.
- 2) Refined Production Estimate which is based on the Minimum Threshold as detailed in Section VII, and also take into account the following:
- a. Specific efficiencies of individual plant structures, consisting of turbine, generator and step-up transformer, which vary according to turbine type, discharge and available head. Typically, these are provided by equipment manufacturers based on the specific project design;
 - b. Electrical Losses;
 - c. Plant specific estimates of availability and forced outage rates;
 - d. Auxiliary load of the plant itself.

Fuel Cells

An acceptable refined Resource Assessment includes a refined Energy Estimate and a refined Production Estimate as described below:

- 1) Refined Energy Estimate should be based on the Minimum Threshold standard as detailed in Section VII, plus evidence that (i) the system is interconnected and operating, or (ii) delivery service is currently in place to the site to provide fuel at sufficient pressure and quantity to operate the system as proposed;
- 2) Refined Production Estimate should be based on the Minimum Threshold as detailed in Section VII and also provide evidence that the fuel supply is provided either under gas utility tariff, or under a supply contract for greater than 75% of fuel required for Contact Tenor and Bid Facility as proposed.

Biomass and Biogas

An acceptable refined Resource Assessment includes a refined Energy Estimate and a refined Production Estimate as described below:

- 1) Refined Energy Estimate should be based on the Minimum Threshold as detailed in Section VII. In addition, the refined Energy Estimate will include the following for eligible sources of biomass or biogas:

Biomass and Biogas – Refined Standard Resource Assessment			
Wood/Ag/ Mixed Waste eligible feedstock/eligible technology combinations only	Landfill Gas	ADG (On-Farm, Food Processing)	ADG (Municipal/ Industrial WWTP)
Provide project specific testing/analysis of feedstocks, contingent contracts from key suppliers and supply/price risk assessment that includes stress tests on key variables such as loss of key suppliers or increased feedstock competition.	If applicable, for projects relying on additional waste disposal to meet gas generation targets, refined Resource Assessment shall also include an expert review of existing/planned waste disposal contracts and permit changes or updates. The assessment should also include risk analysis of potential failure modes on additional waste disposal.	Provide site/feedstock specific laboratory analysis to support methane generation analysis. Resource Assessment will include expert review of AD technology, market/disposal analysis for digestate/effluents and risk analysis that includes alternative uses/demand for feedstocks including emergent markets, if any. Include a review of contingent contracts with key suppliers of imported substrates (including food waste).	Provide a more detailed risk analysis that addresses what-if scenarios for changes in baseline biosolids capture and supply/pricing changes for co-digested substrates as applicable. Review of contingent contracts with key suppliers of imported substrates if applicable. For co-digestion projects, an expert review of site-specific AD technology performance and impact on disposal/market for digestate and effluent should be included.

- 2) Refined Production Estimate should be based on the Minimum Threshold as detailed in Section VII, and will describe, characterize, and identify fuel/feedstock supply and pricing (including key suppliers) and project-specific fuel/feedstock risk factors that convey potential impacts on Bid Facility operations. If applicable, it includes any by-product streams or waste disposal costs that are important to the Bid Facility's operation (e.g., ash/digestate being sold as fertilizer).

SUPPORTING DOCUMENTATION REQUIRED FOR RESOURCE ASSESSMENT

The Proposer may demonstrate that it has exceeded the Minimum Threshold Qualification Criteria for Resource Assessment by providing the following documents with its either its Step Two Application for Qualification (preferred) or Step Three Bid Proposal:

- The eligible technology specific descriptions and tables above describe all supporting evidence required to document progress in excess of the Minimum Threshold Qualification Criteria.

PROJECT VIABILITY CATEGORY 6: SITE CHARACTER

There are no Minimum Qualification Thresholds for Site Character in RESRFP18-1; this Project Viability Category is part of the Step Three Bid Proposal.

A total of 1.5 points for Site Character has been distributed among two categories. The following table lists the Site Character categories and the points available in each:

	Site Character Subcategory	Maximum Points Available
1	Avoids overlap with Prime Farmland	1.0
2	Avoids overlap with Parcels holding an Agricultural Assessment	0.5

Bid Proposals associated with Bid Facilities not yet operational and located in the NYCA will be evaluated according to the Proposer's level of willingness to site and construct the Bid Facility's Permanent Physical Footprint in locations that avoid encroachment on land with agricultural importance to New York State by committing to avoid overlap with prime agricultural areas and to avoid development on parcels that at the time of the Bid held an agricultural assessment. Proposers may claim Site Character points in exchange for attesting that:

- 1) The permanent generation, interconnection and, if applicable, Energy Storage footprint (Permanent Physical Footprint) associated with the Bid Facility will avoid land identified by the United States Department of Agriculture (USDA) as prime farmland and prime farmland if drained ("Prime Farmland"). NYSERDA has provided Proposers with an [interactive, web-based Site Character map and downloadable GIS files](#) (SHP format) to identify Prime Farmland areas associated with the Bid Facility's project parcels⁵⁸, and/or
- 2) The permanent generation, interconnection and, if applicable, Energy Storage footprint (Permanent Physical Footprint) associated with the Bid Facility will avoid parcels with an agricultural assessment at the time of Step Three Bid Proposal submittal. NYSERDA advises Proposers to consult with landowners or County Tax Assessment roles to determine if an agricultural assessment applies to a project parcel(s).

To earn points, Proposers submitting Step Three Bid Proposals for wind and solar Bid Facilities must also agree to construct the Bid Facility in accordance with New York Department of Agriculture and Markets (DAM) Construction Standards (Exhibit E).

To earn points, Proposers may attest that they will install the Bid Facility's generation and storage equipment such that they will avoid project overlap on Prime Farmland as outlined in the following table:

Project Viability - Site Character Percent of Bid Facility, Interconnection, and Energy Storage generation and other permanent equipment free of overlap with Prime Farmland	Maximum Points Awarded
95.00-100%	1.0
90.00-94.99%	0.5
80.00- 89.99%	0.25
Less than 80.00%	0

To earn points, Proposers may also attest that they will install the Bid Facility's generation and storage equipment such that they will avoid project overlap on parcels with an agricultural assessment as outlined in the following table:

⁵⁸ RESRFP18-1 Project Viability Site Character Map and associated GIS files are available from <https://www.nyserdera.ny.gov/resrfp18-1-resources>

Project Viability - Site Character Percent of Bid Facility, Interconnection, and Energy Storage generation and other permanent equipment free of overlap on parcels with an agricultural assessment	Maximum Points Awarded
95.00-100%	0.5
90.00-94.99%	0.5
80.00- 89.99%	0.25
Less than 80.00%	0

Bid Facilities currently in operation within the NYCA (those having an SoQ) and External Bid Facilities (those outside of the NYCA) are not eligible for Site Character points.

Proposers not selecting to attest that they will site and construct the Bid Facility such that it will avoid land of agricultural importance to New York State or avoid development on parcels that held an agricultural assessment will not receive any Site Character points.

SUPPORTING DOCUMENTATION REQUIRED FOR SITE CHARACTER

If the Bid Facility is under development, a Proposer may claim Project Viability Site Character points by selecting any of the percentages indicated above; points will be awarded based on the extent to which the Proposer attests 1) that the Bid Facility's installed equipment will avoid overlap with a) Prime Farmland and/or b) land with an agricultural assessment, and 2) for Proposers submitting Step Three Bid Proposals for wind and solar Bid Facilities that the Bid Facility will be constructed in accordance with New York Department of Agriculture and Markets (DAM) Construction Standards (Exhibit E).

NYSERDA will retain twenty-five percent (25%) of the Bid Facility's Contract Security. Such amount shall be refunded to Seller should NYSERDA determine, through Operational Certification (which will review the final site plan and the Site Character Map provided to Seller), that the percentage of encroachment of the Permanent Physical Footprint of the Bid Facility is equal to or less than the Defined Percentage(s). Such amount shall be forfeited to NYSERDA by Seller should NYSERDA determine, through Operational Certification (which will review the final site plan and the Site Character Map provided to Seller), that the percentage of encroachment of the Permanent Physical Footprint of the Bid Facility is greater than the Defined Percentage(s).

For wind and solar Bid Facilities where Site Character points were awarded, NYSERDA will retain twenty percent (20%) of the Bid Facility's Contract Security for a period of 365 days following the date upon which the project achieves Commercial Operation. Upon such date, NYSERDA will: (1) refund the retained Contract Security; or (2) if the New York State Department of Agriculture & Markets (DAM) has notified NYSERDA that the Bid Facility was not constructed in accordance with the DAM Construction Standards (incorporated herein and made part hereof at Exhibit E), NYSERDA will provide written notice to Seller of DAM's claim and NYSERDA will retain such 20% of the Contract Security until (a) DAM notifies NYSERDA that suitable corrective action has been taken, at which point such amount shall be refunded to the Proposer, or (b) 180 days from the date upon which NYSERDA provided notice to Seller, in which case such amount shall be forfeited to NYSERDA by Seller.

CATEGORY 7: CONTRACT SECURITY ABOVE THE MINIMUM

Under this category, Proposers may pledge to commit amounts above the \$9/MWh minimum required contract security specified in Section XI(3) of RESRFP18-1; the minimum required amount plus any amount pledged must be provided within 10 business days following the Award Notification Date.

Scoring Scale and Associated Standard	Contract Security Pledged	Maximum Points Awarded
100%	Highest Proposer pledge per MWh above the minimum gets full credit for this category.	1.0
Scaled to maximum between 0 – 100% of category points	$\left[\frac{\text{bid pledged security (\$/MWh)}}{\text{maximum bid security (\$/MWh)}} \right] * \text{Maximum points}$	Up to 0.99; Scaled

SUPPORTING DOCUMENTATION REQUIRED FOR CONTRACT SECURITY PLEDGED

- Proposer will be asked to indicate, if elected, a pledge of additional security in the Step Three Bid Proposal.

APPENDIX 3 - OPERATIONAL FLEXIBILITY AND PEAK COINCIDENCE APPENDIX

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INTRODUCTION

The Bid Proposal evaluation process for RES Tier 1 REC solicitations includes the application of an Operational Flexibility and Peak Coincidence (OpFlex) evaluation criterion that makes up 10% (10 points) of the Step Three scoring as described in Section XII(3) OpFlex of the RFP. The inclusion of this criterion is intended to incentivize renewable resources that provide grid services for cost minimization and reliability by addressing integration issues resulting from increased penetration of intermittent renewables, better matching generation to load, and encouraging dispatchable resources to balance the electric system, optimize generation dispatch, minimize operating reserve requirements, and address grid congestion and constraints. The OpFlex criterion employed in this RFP are intended to differentiate bids based on their effectiveness at meeting these objectives, as best possible under current market rules.

As a part of the Step Three Bid Proposal, Proposers will be invited to demonstrate all the necessary information and documentation to evaluate the Bid Facility for its contribution to each OpFlex subcategory. NYSERDA may request additional documentation as a part of its review of Step Three Bid Proposals.

OPERATIONAL FLEXIBILITY AND PEAK COINCIDENCE CATEGORIES

The total of 10 points for OpFlex has been distributed among two categories. The following table lists the OpFlex categories and the points available in each:

	Category	Maximum Points Available
1	Load Matching	4.0
2	Energy Storage (if applicable)	6.0

The remainder of this Appendix will present the individual informational components of each of the two evaluation categories that make up the OpFlex criterion. **The tables shown below provide relevant details on levels of scoring within each category.**

CATEGORY 1: LOAD MATCHING

The Load Matching category evaluates a Bid Facility's ability to avoid over-generation, or energy production at times and in locations where production can be problematic. Over-generation, for purposes of this criterion, means generation during periods when the system cannot accommodate the excess generation. The quantity of hours with negative locational based marginal prices, (LBMPs or spot energy prices) are a primary market indicator of locations where there is insufficient load to absorb the excess energy and/or transmission to export the energy. Production during these times in these zones could result in curtailments (including inducing curtailment of other renewable energy sources), and generally less efficient operation of the system. Additional

generation, especially with production occurring during these low net load (or low LBMP) hours, could pose even greater issues with higher penetration.

This metric seeks to score a Bid Facility's impact accordingly, with higher scores for resources that are less likely to exacerbate issues of curtailment, negative energy pricing, and low-load dispatch based on a Bid Facility's expected energy production during the hours with lowest load in the Bid Facility's location. The Load Matching category therefore evaluates proposals based on the location (NYISO market Zone) of the Bid Facility.

Scoring will reflect periods where adding additional generation could create or exacerbate over-generation. Bid Facilities located in Zones G through K will receive 100% of the category points and do not need to provide further documentation to obtain the maximum points in this category, unless the Proposal includes Energy Storage.⁵⁹ Bid Facilities located in Zones A through F will receive a score in proportion to its capacity factor during the lowest ten percent (10%) of historic (2017) annual load hours for NYISO Zones A through F in aggregate. The lowest ten percent (10%) of historic annual load hours for NYISO Zones A through F in aggregate is called the Over-Generation Period (OGP).

Bid Facilities located outside of the NYCA or NYISO Market Zones (External Facilities) **are not eligible for Load Matching points.**

The Load Matching category scoring approach is summarized in the table below:

Bid Facility Zone	Scoring	Maximum Points Awarded
Zones G-K	100% of category points (no P(50) annual expected hourly production profile is required, unless Step Three Bid Proposal includes Energy Storage)	4.0
Zones A-F	Score⁶⁰ = 75% of category points * [1-CF_{OGP}] where CF _{OGP} = Bid Facility's average capacity factor during the lowest 10% of aggregated Zone load hours	Up to 3.0; Scaled ⁶⁰

⁵⁹ Over-generation resulting from additional electricity production is typically not an issue in Zones G-K, but poses potential issues in Zones A-F. Please see the Energy Storage category for further explanation on the provision of P(50) 8760.

⁶⁰ A Bid Facility with 0% average capacity factor (or no generation) during the lowest 10% of aggregated Zone load hours would receive 75% or 3.0 points of the Load Matching points available. A Bid Facility with 100% average capacity factor during the lowest 10% of aggregated Zone load hours would receive 0% or 0 points of Load Matching points available. Bid Facilities with average capacity factors between 0% and 100% would receive between 75% (3.0 points) and 0% (0 points) of Load Matching points available, based on the Bid Facility's average capacity factor.

For Bid Facilities to be physically located within the NYCA that are proposing with Energy Storage, the score for this category is based on the characteristics of both the Bid Facility and Energy Storage. Bid Facilities co-located with Energy Storage shall include the role of the Energy Storage in reshaping the production profile in the P(50) 8760. For Load Matching evaluation, NYSERDA will use the Resource Assessment provided in the Step Two Application for Qualification (described in Section VII Threshold Category 5: Resource Assessment), unless the Resource Assessment is refined or updated in the Step Three Bid Proposal (described in Appendix 2).

SUPPORTING DOCUMENTATION REQUIRED FOR LOAD MATCHING

For Bid Facilities located in Zones A through F, the applicable capacity factors for evaluation purposes will be determined based on the Bid Facility's technology, as follows:

Solar: Proposers must provide, in a spreadsheet attachment template provided by NYSERDA, a typical year's 8,760 hourly production profile consistent with the P(50) output from the system performance model used in the Step Two Application for Qualification or, if applicable, the report from a 3rd party independent Professional Engineer or analyst as provided in Step Three (for Project Viability, Category 5 Resource Assessment).

The hourly production profile will be used by the TEP to calculate the system's capacity factor during the bottom 10% of load hours based on 2017 annual aggregate NYISO load data for Zones A through F.

Wind: Proposers must provide, in a spreadsheet provided by NYSERDA, a typical year's 8,760 hourly production profile consistent with the P(50) output from the model used in the Step Two Application for Qualification or, if applicable, the report from a 3rd party independent Professional Engineer, meteorologist or analyst as provided in Step Three (for Project Viability, Category 5 Resource Assessment).

Biogas, biomass, landfill gas, and fuel cells, and ocean facilities: Bid Facilities of these resource types will be assigned a 95% capacity factor during the lowest 10% of load hours.

Hydroelectric and tidal facilities: Proposers must provide, in a spreadsheet provided by NYSERDA, a typical year's 8,760 hourly production profile consistent with the P(50) output provided in the Step Two Application for Qualification or, if applicable, the report from a 3rd party independent Professional Engineer, as provided in Step Three (for Project Viability, Category 5 Resource Assessment).

The hourly production profile will be used by the TEP to calculate the system's capacity factor during the bottom 10% of load hours based on annual aggregate NYISO load data for Zones A through F.

CATEGORY 2. ENERGY STORAGE (IF APPLICABLE)

Energy Storage can provide various grid services and operational flexibility benefits, such as load shifting, regulation, operating reserves, and local distribution support. The bigger the system (capacity relative to the coupled renewable energy system) and the more hours of storage available (MWh relative to MW capacity), the greater the benefits. However, market rules today are not clear as to how Energy Storage can qualify to provide those services to NYISO, the electric distribution company, or the generator.⁶¹

Thus, contributions of Energy Storage cannot be easily measured, but potential contributions can be valued. For the purposes of the Operational Flexibility and Peak Coincidence evaluation criteria, this scoring category values the ability to move energy over time to address the full range of challenges posed by intermittent renewables.

For purposes of this RFP, Bid Facilities may propose an Energy Storage system that is either:

- (1) co-located with the generation behind a single wholesale or retail meter in the NYCA, or;
- (2) co-located with the generation behind a separate wholesale or retail meter in the NYCA, or;
- (3) located in a separate location from the generation inside the NYCA (New York Control Area) and is subject to eligibility criteria specified in Section VI(B) and XI(C) of this RFP.

Bid Facilities located outside of the NYCA or NYISO Market Zones are not eligible for Energy Storage points.

NYSERDA has established three renewable technology size tranches based on the Nameplate Capacity of the eligible renewable technology in the Step Three Bid Proposal:

- a) Up to 20 MW
- b) 20.01 to 99.99 MW
- c) 100 MW and larger

The TEP will not award more than 6 points for Energy Storage. TEP scoring will be based on the following equations.

⁶¹ NYISO's report on The State of Storage: Energy Storage Resources in New York's Wholesale Electricity Markets is available on NYSERDA's RESRFP18-1 resources page: <https://www.nyserda.ny.gov/resrfp18-1-resources>

Energy Storage Scoring (Maximum Points Available):

For Bid Facilities with Renewable Generator Nameplate Capacities up to 20 MW:

Bid Facilities up to and including 20 MW in Nameplate Capacity proposing with Energy Storage have a minimum requirement of 1 MWh of Storage Capacity.⁶² Proposals in the tranche will be converted to points using the following calculation:

$$y = 0.5x$$

Where x is equal to the MWh of Energy Storage, and y is the Energy Storage score.

For Bid Facilities with Renewable Generator Nameplate Capacities 20 – 100 MW:

Bid Facilities greater than 20 MW and less than 100 MW in Nameplate Capacity proposing with Energy Storage have a minimum requirement of 4 MWh of Storage Capacity. Proposals in the tranche will be converted to points using the following calculation:

$$y = 0.3333x - 0.6667$$

Where x is equal to the MWh of Storage Capacity, and y is the score for Energy Storage.

For Bid Facilities with Renewable Generator Nameplate Capacities greater than or equal to 100 MW:

Bid Facilities greater than or equal to 100 MW in Nameplate Capacity proposing with Energy Storage have a minimum requirement of 4 MWh of Storage Capacity. Proposals in this tranche will be converted to points using the following calculation:

$$y = 0.075x$$

Where x is equal to the MWh of Storage Capacity, and y is the score for Energy Storage.

SUPPORTING DOCUMENTATION REQUIRED FOR ENERGY STORAGE

Proposers must provide:

- Documentation of the physical/technical parameters, i.e. the Storage Capacity (MWh) capability of the Energy Storage system, sufficient for the TEP to calculate a score for this category.

⁶² Storage Capacity is the maximum amount of energy that is capable of being stored in an Energy Storage device, measured in Megawatt hours (MWh).

Greening the Bronx: Urban Heat Island Mitigation Project 2018

Request for Proposals (RFP) No. 3579
\$1,082,758 Available

Proposals Due: June 7, 2018 by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (“NYSEERDA”) seeks proposals from landscape architects/planners, arborists, community groups/workforce development organizations, environmental and sustainability-focused groups and institutions, and tree planting contractors (Proposers), to plant and provide two-year guaranty and stewardship for trees planted under an urban forestry program in the Bronx. The primary objective of this solicitation is to maximize the environmental benefits of strategically sited sustainable infrastructure. To achieve the objective, proposals should demonstrate the ability to provide the following services:

- Identify local sites, and work with local authorities, landowners and community groups to design a tree planting plan
- Purchase the trees to execute the design plan
- Plant the trees according to the plan
- Stewardship planning and implementation with local stakeholders and community groups
- Guarantee and maintaining the trees for a two-year period

Proposers should be experienced with large-scale planting projects. It is strongly advised that, if not on staff, Proposers team with certified arborists and planting contractors for planning, design, and planting services. Proposers may include not-for-profit and for-profit corporations, public benefit corporations, public authorities, state and local agencies, schools, community organization, and combinations of the above. NYSEERDA anticipates awarding at least one contract. Plantings are to occur in the fall 2018 planting season. \$1,082,758 is allocated for the funding of this project, though NYSEERDA reserves the rights to modify funding depending on the close-out of related contracts.

Proposal Submission: Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSEERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link “NYSEERDA Solicitation – User Guide” located in the “Current Opportunities” section of NYSEERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

If you have technical questions concerning this solicitation, contact Kevin Hunt at (518) 862-1090, ext. 3259 or kevin.hunt@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or nancy.marucci@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Kevin Hunt (Designated Contact) at (518) 862-1090, ext. 3259 or kevin.hunt@nyserda.ny.gov. If you have contractual

questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or Nancy.marucci@nyserda.ny.gov. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

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

I. Introduction

A. Background and Summary

NYSERDA is a public benefit corporation established in 1975 under Title 9 of Article 8 of New York State's Public Authorities Law. Among the statutory purposes of NYSERDA are developing and implementing new energy technologies consistent with economic, social, and environmental objectives.

In 2006, the study "Mitigating New York City's Heat Island with Urban Forestry, Living Roofs, and Light Surfaces" was completed on NYSERDA's behalf. The study cited numerous methods to reduce the impact of the urban heat island effect, with urban forestry as one of the most cost effective methods. Consequently, trees to be planted as a result of this solicitation will be planted adjacent to streets, parking lots and sidewalks, along with parks, playgrounds or other recreational facilities, providing shade for hardscapes, pedestrians and buildings. NYSERDA's goal for this solicitation is for up to 50% of the plantings to be street tree locations or sites that shade impervious areas, though this is flexible given particular planting locations and requirements. All plantings are to occur in areas of the Bronx designated as "Potential EJ [Environmental Justice] Areas" (refer to Attachment A). Information can also be located at http://www.dec.ny.gov/docs/permits_ej_operations_pdf/bronxejdetail.pdf., Plantings should focus on areas with a low density of trees.

Horticultural planting locations will be under the jurisdiction of one of the following:

- New York City Dept of Parks and Recreation ("DPR");
- Another New York City agency and operated by the New York City Dept of Parks and Recreation ("DPR-Operated Bronx Facility");
- Another New York City agency and operated and maintained by that agency; or
- In the case of the Roberto Clemente State Park, the New York State Office of Parks, Recreation and Historic Preservation ("OPRHP").

B. Teaming Arrangements

Proposers are encouraged to partner with at least one Bronx-based community or workforce development organization and/or sustainability-focused group, not-for-profit, or institution to develop teams to strengthen outcomes and fulfill the stewardship requirements of this solicitation.

C. Funding

NYSERDA expects to award at least one contract. The funding is expected to be \$1,082,758, though NYSERDA reserves the rights to modify funding depending on the close-out of related contracts.

II. Program Requirements

1. Planting Locations

The successful Proposer(s) will be required to develop and implement tree planting projects within the boundaries of the Bronx, and as identified by the New York State Department of Environmental Conservation's Office of Environmental Justice (Attachment A). Planting locations are to be approved by DPR, or other jurisdictional authorities as identified above, prior to planting. Locations should primarily include areas with a low density of trees, and the locations physical constraints, i.e. overhead power lines and underground infrastructure, are to be taken into consideration. Trees planted on roof tops and in above-ground containers are not eligible. DPR planting guidelines are to be followed for all planting sites, regardless of location. See Attachment B, Street Tree Planting Standards for New York City 2016, also located at <https://www.nycgovparks.org/pagefiles/53/Tree-Planting-Standards.pdf>.

The strategic siting of tree plantings in the Bronx and use of open tree pits (either new or existing), enhanced pits or other stormwater management strategies that are cost effective and high impact are also encouraged in appropriate sites, e.g. susceptible to stormwater runoff. However, in all cases, the Proposer must 1) explicitly justify the application and intended outcomes; 2) include other funding sources that cover the majority of costs beyond those of a standard tree pit; and 3) if required, obtain approval from DPR, DEP or other jurisdictional authority prior to implementation.

2. Required Services

Each Proposer must have the capability to provide the full range of services in a comprehensive and timely manner. The required services will generally fall into the following:

- a. Identify and describe potential planting sites for the fall 2018 planting season as part of the proposal;
- b. Purchase and plant trees using the New York City List of Approved Species (Attachment D, pages 16-19), which can also be found at <http://www.nycgovparks.org/pagefiles/52/Street-Trees-List-For-Permits.pdf>. A diversity of tree species is encouraged and expected. The successful Proposer(s) must clearly define the scope of the proposed work including deliverables, the number of trees to be planted, the minimum tree caliper the Proposer intends to plant, the possible number of tree pit guards that may be required, the use of stormwater management strategies (see page 3), and, if appropriate, the justification of using tree guards versus stakes; and
- c. Guarantee and Stewardship: in accordance with the City of New York Parks and Recreation Tree Planting Standards, a successful Proposer must provide a two-year guaranty for each tree planted (the "Guaranty Period"), and develop a stewardship plan to maintain the trees during this time. The Guaranty Period will commence at the end of each planting season and will cover all trees planted during that season. The successful Proposer(s) will also be asked to address the long term care of the trees (pruning, watering, etc), but will not be contractually required to provide said care.

3. Scheduling

Plantings are to occur in the Fall 2018 season, between October 15, 2018 – January 2, 2019.

- a. The awarded contract(s) under this RFP will expire approximately 25 months following the final planting season and receipt of the final report. NYSEDA will not make payments on expired contracts.

III. Proposal Requirements

Format. Proposals should not be excessively long or submitted in an elaborate format that includes expensive 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, and the page number. The proposal must follow the format below.

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

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

1. The Proposer

Company/Proposer Information—Proposals must provide the following information for each member of the proposed team:

- Name of Business Entity (including any “Doing Business As” names)
- Headquarters/Parent Company Location
- History of Firm
- Internet Web Site Address (if any)
- Details of Entity’s Business Structure (Corporation, Partnership, LLC)
- Date Founded
- Organizational Chart of Business Entity
- New York State and Other Pertinent Locations and Total Number of Employees at each
- List any pending or on-going litigation that would threaten the viability of the firm or the performance of a contract resulting from this RFP.

2. Experience and Qualifications—Proposers must have the qualifications and resources necessary to complete its proposed work. Proposers must have demonstrated experience with successful tree plantings of a similar magnitude, and must be capable of performing the entire scope of services. The proposal must include letters of commitment from team members. As part of its team, each Proposer is encouraged to include as a partner at least one Bronx-based community or workforce development organization and/or sustainability-focused group.

1. Proposer: Provide information below for two prior projects of similar size and scope:
 - a. Project name and location;
 - b. Client contact information (title, address, email and telephone number);
 - c. A brief description of the project and work scope;
 - d. Total project costs;
 - e. Number of trees planted on both pervious and impervious surfaces;
 - f. Describe the project schedule. Was the project completed on time and on budget? If not, why?; and
 - g. What was your company’s specific role in the project?
2. Staffing: Identify the key staff in your firm, and your team, that will be used on this project, and the role each will have. Clearly indicate who the project lead and the primary NYSERDA contact will be, and provide that individuals’ resume. Clearly identify the individual(s) responsible for completing the planting design, along with his or her experience, education and professional designation(s), and include a copy of that individual’s resume.

3. Design Criteria/Scope of Work- The scope of work must be clearly defined with sufficient detail included. Design must be prepared by an International Society of Arboriculture (ISA)-certified arborist, a landscape architect, a forester, or professional degree in related areas.

The design plan must demonstrate conformance to appropriate tree planting standards. For DPR’s Tree Planting Standards, refer to Attachment B, or go to <https://www.nycgovparks.org/pagefiles/53/Tree-Planting-Standards.pdf>. The proposal must include a plan to obtain owner’s permission to plant street trees.

The successful Proposer(s) shall have until August 31, 2018, to submit a draft design plan for the fall 2018 planting season.

The proposal must include the following information:

- a. Identify potential planting locations, which should primarily consist of areas with low tree density. A diversity of species is expected, as is matching the species to a locations' physical constraints;
- b. It is expected that up to 50% of plantings will be street trees, though this is flexible given the difficulties of planting at certain sites;
- c. Indicate if using standard tree pits or open pits, and whether tree pits are new or existing, and any stormwater management strategies, e.g. enhanced tree pits, that are both cost effective and high impact. If proposing such strategies, 1) explicitly justify the application and intended outcomes; and 2) acknowledge your understanding that DPR or other jurisdictional authority must approve the strategy and site;
- d. Indicate the approximate number of trees to be planted. Refer to 4a, below;
- e. Provide copies of commitment letters the Proposer may already have showing site commitments for trees to be planted, including copies of planting permits for trees covered in these commitment letters; and
- f. Describe any extraordinary protection, such as tree guards, along with the intended location. The use of any extraordinary protection must be justified.

4. On-Site Management- Proposers must describe the on-site project management strategy using an ISA-certified arborist, landscape architect, forester, or approved equal, to ensure the proper trees are selected and tagged, and that planting specifications, such as planting depth, stock handling, and other critical factors related to the long term viability of the trees are met.

5. Stewardship and Maintenance—Provide the following information:

The proposal must include a two-year tree survival guarantee by the Contactor to NYSERDA, along with a stewardship plan for the Guaranty Period.

- a. The stewardship plan must be comprehensive, appropriate and cost effective to enhance tree survival for the Guaranty Period;
- b. The stewardship plan must include a description of how the local community and neighborhood residents will be involved in and informed about the tree planning project, and educated about the care and maintenance needs to elicit cooperation so trees can reach maturity. The plan should include the names of organizations that will implement the stewardship plan. Provide a commitment letter from each organization that will participate in the stewardship plan. Ideally, such letters will be from Bronx-based organizations. If not engaging with a local community group, the Proposer needs to describe how it will care for the trees throughout the Guaranty Period.
- c. The stewardship plan should address the long term maintenance of the planted trees beyond the 2-year guaranty period, though the Proposer/Contractor will not be contractually required to provide such care.

6. Project Costs

- a. The overall costs are to be proportionate to the overall benefits. All associated costs are to be clearly shown on the Pricing Sheet, Attachment C;

- b. Unit prices and quantities must be reasonable in comparison to total project costs. The Proposer must confirm, in writing, that it is aware that this is a Public Works Project, and that Prevailing Wages must be paid. Refer to Attachment D for the 2018-19 Prevailing Wage schedule;
- c. The cost of using stormwater management strategies, such as enhanced tree pits, must be justified and cost effective, locations identified, and funding sources to cover the majority of the cost identified. Provide commitment letters for said funding;
- d. The successful Proposer can invoice NYSERDA 1) at time when infrastructure investments are demonstrated, i.e., concrete cuts, tree pits open, trees on-site, etc; and 2) when trees are planted and inspected for the season. The successful Proposer can invoice quarterly during the Guaranty Period for on-going maintenance. The Proposer may put forth alternatives to this timing of invoicing. For the planting seasons, NYSERDA may hire an independent third party to verify the number, species and caliper of trees planted and invoiced. A third party contractor may also periodically monitor tree maintenance.
- e. The Proposer must acknowledge that NYSERDA will retain 5% of each invoice paid, to be paid at the end of the Guaranty Period, provided the trees are healthy.

7. Minority or Women-Owned Business Enterprise (MWBE)/Service Disabled Veterans-Owned Business (SDVOB)- is the primary contractor on the Proposer's team MWBE or SDVOB certified? If so, provide a current certificate.

IV. Proposal Evaluation Criteria

Proposals that meet Proposal Requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below listed in order of importance. The Scoring Committee will review each proposal and may contact selected references as necessary to determine whether a Proposer has the necessary resources to successfully perform the scope of services. As part of the evaluation process, Proposers may be required to have appropriate representatives attend an interview at NYSERDA's New York City office prior to final selection.

The Scoring Committee will score and rank the initial proposals received using the evaluation criteria. The Scoring Committee reserves the right to adjust initial scores based on the interview.

- a. Experience and qualifications of the Proposer: Does the Proposer demonstrate experience with projects of a similar size and scope as outlined in this RFP? Are at least two prior projects of a similar size detailed? Are commitment letters from team members provided? As part of the team, does the Proposer identify a Bronx-based community group, explaining its role? Are team members clearly identified and well-positioned to contribute to the project? Does the Proposer demonstrate or acknowledge that it can have all trees planted by the end of the fall 2018 planting season?
- b. Experience and qualifications of staff: Is the project lead and key staff identified and resumes provided? Is their background commensurate with a project of this size? Is the planting designer(s) clearly identified, along with their professional designation(s) and resume?
- c. Design criteria and work scope: Will the design plan be prepared by an ISA- certified arborist or equivalent? Are potential planting locations identified, along with species and tree caliper? Is the percent of trees planted in and around impervious surfaces (maximum 50%) reasonable? Does the plan address obtaining owner's permission for plantings? For DPR permitted planting sites, did the Proposer identify a method to track trees using DPR's geographic information system? Are the use of tree guards and other protection strategies justified? Does the Proposer indicate the use of standard or open tree pits, and new or existing tree pits? Is the use of stormwater management strategies justified and intended outcomes reasonable, and are other funding sources identified?

- d. On-site management: Does the Proposer describe an on-site planting management strategy? Does the strategy ensure that trees will be properly tagged and planted in the appropriate location, and that planting specifications are followed?
- e. Stewardship and maintenance: Is the stewardship plan comprehensive? Does it address the 2-year Maintenance Period post planting? If required, is education and training addressed, and does it appear effective? Is a Bronx-based local community or neighborhood group(s) identified and involved, and to what extent? Is the long term care of the planted trees addressed?
- f. Project cost: Are the unit and labor costs reasonable? Are administrative costs to total project costs reasonable? Is the use of volunteers, and community and neighborhood groups cost effective? Is the cost of using stormwater management strategies justified and reasonable? Are other funding sources identified for said implementation, and are commitment letters for the funding provided?
- g. MWBE/SDVOB: Points will be awarded if the primary contractor on the proposing team is a Minority or Woman Owned Enterprise (MWBE) or a Service Disabled Veteran Owned Business (SDVOB). The Proposer must be registered with the NYS Department of State as an entity authorized to conduct business in New York State, and certified by Empire State Development Corp's Division of Minority and Woman's Development, or with the New York State Office of General Services if SDVOB certified. Provide a copy of the certification.

V. Additional Information

i. **Performance-** Failure to meet established schedules, to perform work within the negotiated/approved fees, or to conform to the scope of services may result in termination of the contract.

ii. **Reporting-** The successful Proposers will be required to submit reports not later than January 15 and July 15 of each contract year, describing the status of the project, including but not limited to, the number of trees planted during the immediately prior planting season and in aggregate, the number of previously planted trees in need of replacement or that have been replaced, the reason for replacement, and the aggregate number of trees replaced, and note any obstacles that may impede planting for the pending season. The Contractor will also need to report on the frequency of meetings and correspondences, quality control issues, and outcomes of any issues throughout the 2-year maintenance period with NYSERDA's. A final report at completion of the entire project is required.

iii. **Permits and Approvals**—The successful Proposers is responsible for obtaining, submitting and covering the costs of all necessary permits and providing photocopies to NYSERDA. Said photocopies can be emailed, faxed or mailed to NYSERDA. Planting on all sites governed by the DPR shall comply with DPR's planting specifications. The planting standards can be found on pages the following address:
<https://www.nycgovparks.org/pagefiles/53/Tree-Planting-Standards.pdf>.

Nursery stock used for planting must conform to the *American Standard for Nursery Stock, ANSI Z60.1*, American Nursery and Landscape Association, 1000 Vermont Avenue NW, Suite 300, Washington, DC, 20005. Refer to http://americanhort.org/documents/nursery_stock_standards_AmericanHort_2004.pdf.

V. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are

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

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

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

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

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

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

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

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 Attachment H, Diversity Practices Questionnaire.

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/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

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

Contract Award - NYSERDA anticipates making one or more awards under this solicitation. NYSERDA anticipates a contract duration of approximately 30 months, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately eight weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

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

New York Executive Law Article 17-B – NYSERDA is required under law to promote opportunities for maximum feasible participation of certified Service-Disabled Veteran-Owned Businesses (SDVOBs). The SDVOB participation goals and obligations of the selected Contractor are set forth in Attachment G.

VI. Attachments:

Attachment A – Potential Environmental Justice Areas in Bronx County

Attachment B – Street Tree Planting Standards for New York City 2016

Attachment C – Pricing Sheet

Attachment D – Prevailing Wage Schedule

Attachment E - Sample Agreement

Attachment F - Article 15-A (MWBE) Provisions for Solicitation Documents (non-construction)

Attachment G - Article 17-B (SDVOB) Provisions for Solicitation Documents (non-construction)

Attachment H - Diversity Practices Questionnaire



C&I Carbon Challenge

Request for Proposal (RFP) 3757

Funding: \$10 million

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

Proposals Due: July 10, 2018 5:00 PM Eastern Time*

Program Summary: The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from large Commercial and Industrial (C&I) customers requesting financial awards to support capital investments that lead to the implementation of Clean Energy Actions. Clean Energy Actions are defined as energy-related measures with carbon reduction potential, including but not limited to energy efficiency and distributed energy resource projects. Large C&I customers are defined as any customer with an aggregate 12-month average demand of 10 MW or greater at a single site or aggregated across multiple sites in New York State.

Challenge awardees will be provided with flexibility in the use of awarded funding for the implementation of Clean Energy Actions, with the option to utilize funding for a wide range of measures as costs are incurred. NYSERDA's goal is to explore whether the flexible use of funding by large commercial and industrial customers can prove more cost effective than NYSERDA public benefit programs otherwise available to them, as measured by carbon emission reduction per dollar allocated.

Through this solicitation, NYSERDA will award up to \$10 million, ranging from \$2,000,000 to \$5,000,000 per award, to the proposers demonstrating the highest potential for cost effectively implementing carbon-reducing Clean Energy Actions. One solicitation round is scheduled and all or none of these funds may be awarded.

Informational Meeting: NYSERDA will hold two (2) non-mandatory, informational sessions for potential proposers as a question and answer session for the RFP. It is encouraged that questions be submitted in advance. Please visit RFP3757 at <https://nyserda.ny.gov/All-Programs/Programs/CI-Carbon-Challenge> for the date, time, instructions, and details. The questions and responses will be posted under this funding opportunity on NYSERDA's website at <https://nyserda.ny.gov/All-Programs/Programs/CI-Carbon-Challenge>.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](#) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Sean Mulderrig at (212)-971-5342, ext. 3804 or by e-mail sean.mulderrig@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or nancy.marucci@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

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

I. Introduction

The New York State Energy Research and Development Authority (NYSERDA) is a public benefit corporation established by the New York State Legislature in 1975. NYSEDA's principal mission is to use innovation and technology to solve some of New York's most difficult energy and environmental problems in ways that improve the State's economy. In 2016, the New York State Public Service Commission (PSC) approved the Clean Energy Fund (CEF) which is designed to deliver on New York State's commitment to reduce ratepayer collections, drive economic development, and accelerate the use of clean energy and energy innovation. The C&I Carbon Challenge is administered through NYSEDA's CEF.

NYSERDA has received feedback from large commercial and industrial (C&I) customers indicating that greater flexibility in the allocation of NYSEDA's CEF resources could unlock highly cost-effective opportunities. The C&I Carbon Challenge is NYSEDA's effort to capture these opportunities by providing flexible funding for Clean Energy Actions. NYSEDA will award up to \$10,000,000, ranging from \$2,000,000 to \$5,000,000 per award over a 3-year implementation period. Awards will be made on a competitive basis to proposals demonstrating the highest potential for cost effectively implementing carbon-reducing Clean Energy Actions. These awarded funds will serve as the sole source of public benefit available to challenge awardees for the action(s) proposed and implemented. Challenge awardees will be precluded from participation in other NYSEDA or NYS utility programs for the same action(s) at the site(s).

Applicants will be required to determine a 3-year carbon emissions reduction target [2019-2021] and identify the path to achieving such a target in a Clean Energy Action Plan (Attachment A). Clean Energy Action Plans can include measures at a single customer site or multiple sites. Proposals are required to outline measures they intend to implement in the first year of the program, at a minimum. **Additionally, proposals will be evaluated on the extent to which the proposed approach to emissions reduction is more cost effective than the current portfolio of NYSEDA programs on a dollars of public benefit per ton of carbon dioxide equivalent reduced basis—\$27 disbursed per mt of CO₂e for the Clean Energy Fund's portfolio of programs.** Selected participants will work closely with NYSEDA and NYSEDA's Technical Specialists to track progress, adjust Clean Energy Action Plans, and identify approaches utilized in this program that can inform the broader market.

II. Program Requirements

Program Eligibility

The following requirements must be met for a proposal to be considered for funding:

- The proposer must be a commercial or industrial entity including, but not limited to, the following:
 - Colleges and Universities
 - Food and Beverage Processing
 - Health Care Facilities
 - Manufacturing
 - Mining and Extraction
 - Not-For-Profit and Private Institutions
 - Office Buildings
 - Public and Private K-12 Schools
 - Retail
 - State and Local Governments
- All participating sites identified in the proposal must pay the electric SBC; and
- The proposer must have a 12-month average demand of 10 MW or greater at a single site or aggregated across multiple sites in New York State, and at least 5 MW of demand must be serviced by market power sources that subject to the System Benefits Charge (SBC). All proposers will be required to provide evidence of satisfying the demand requirements as described in Section IV.

All awardees intending to install on-site solar power or a combined heat and power (CHP) system will be required to work with a NY-Sun Participating Contractor or CHP approved vendor respectively. Approved contractors can be found here <https://www.nyserda.ny.gov/Contractors/Find-a-Contractor>

NYSERDA Responsibilities

As outlined, NYSERDA will provide awardees with a dedicated Project Manager who will oversee progress, assist in strategy discussions, and coordinate outside resources where appropriate or requested. NYSERDA Project Managers will schedule quarterly meetings with participant project managers to discuss overall customer progress, investigate areas where NYSERDA can help, determine key areas of success that may inform other customers in the state, and discuss communication strategies for highlighting those areas to the public. They will review the Clean Energy Action Plan and Clean Energy Action Plan Project Register on a bi-annual basis to ensure that progress is being made towards the carbon reduction target.

NYSERDA Project Managers will also coordinate activities with the program's Technical Specialists as chosen by NYSERDA in collaboration with selected participants. The Technical Specialist will take part in all regularly scheduled status meetings, assist in the development of quarterly reports, and serve as the lead in the measurement and verification (M&V) process to determine carbon savings. The awardee will bear no responsibility for the cost of M&V activities. The awardee will also have access to the Technical Specialist for no-cost program-related, ad hoc technical guidance as needed.

Applicant Requirements

Selected C&I Carbon Challenge awardees will be expected to work closely with NYSERDA in updating, refining and implementing Clean Energy Actions Plans over the 3-year term of the program. Each program participant will receive the benefit of a dedicated NYSERDA Project Manager and Technical Specialists. The Project Manager will work with participants to track progress, provide feedback and guidance on measures to be implemented, and coordinate cross-collaboration with participants and NYSERDA external resources when necessary or requested.

Applicant must complete Attachment A - Clean Energy Action Plan and Attachment B - Clean Energy Action Plan Project Register as described in Section IV Proposal Requirements. At a minimum, the Applicant must outline their 1st year Clean Energy Actions. Details can be provided for measures intended to be implemented in years 2 and 3, however any measures identified in this proposal will need to be progressing toward implementation prior to commencing new measures.

Both the Clean Energy Action Plan and the Clean Energy Action Plan Project Register will be required to be updated on a bi-annual basis, at a minimum. The originals of these documents submitted under this solicitation will serve as the initial document to which all revisions will be applied. Updates will encompass the following:

- Indication of instances where estimates have been revised or implementation plans have been altered
- A brief summary of all Clean Energy Actions taken to date
- A detailed account of progress on completed measures, including:
 - Project Costs
 - Estimated Savings
 - Verified & Realized Savings
 - Upcoming Measurement and Verification actions
- Identification of new measures, if applicable

Regular updates to the Clean Energy Action Plan and Project Register will help ensure that participants remain on track to achieve stated carbon reduction targets.

Available Funds

NYSERDA will award up to \$10,000,000, ranging from \$2,000,000 to \$5,000,000 per award. Awards will be made to proposals demonstrating the highest potential for cost effectively implementing carbon-reducing Clean Energy Actions. These awarded funds will serve as the sole source of public benefit available to challenge awardees for the action(s) proposed and implemented, and they will be precluded from participation in other NYSERDA or NYS utility programs for the same action(s) at the same site(s).

In an effort to provide participants with upfront funding, up to 70% of the overall award will be made available as project costs are incurred. NYSERDA and awardees will use the Clean Energy Action Plan and quarterly meetings to document expected costs and determine funding requirements, ensuring disbursements are proportional to all project costs anticipated through the Clean Energy Action Plan and align with progress toward the stated carbon savings goal. Participants will be required to provide their NYSERDA Project Manager with invoices for incurred costs and remittance of payment will be at the discretion of the Project Manager.

All remaining funds will be awarded upon completion of M&V, and will be subject to readjustment based on the participant's performance relative to their stated carbon savings goal. The table below summarizes the disbursement for each level of performance:

% of Carbon Goal Realized	Remaining Funds Disbursed
< 70%	No additional funds awarded
70 - 80%	50%
80 - 90%	75%
> 90%	100%

E.g. A selected participant is granted a \$2.5 million award and has pledged to save 200,000 mtCO₂e. The participant incurs \$3.75 million in eligible expenses, however is only granted \$1.75 million pending M&V (70% of the \$2.5 million award). M&V reveals a total carbon savings of 170,000 mtCO₂e, 85% of the goal. As such, NYSEDA remits 75% of the remaining funding, \$562k, with a total funding amount of roughly \$2.3 million.

Timeline

Challenge awardees will be awarded a 4-year agreement commencing in 2019. Challenge awardees shall implement carbon-reducing clean energy actions between 2019 and 2021. All funded measures must be installed in this time frame. The fourth year, 2022, will be used to complete any outstanding M&V, if necessary, and determine final project results.

Other Considerations

- Work associated with the development and submittal of this proposal may NOT be included in the proposal budget (Contract Pricing Proposal Form attached to this RFP as Attachment D). Any portion of the project commenced prior to the establishment of a fully executed contract with NYSEDA is NOT eligible for reimbursement.
- Proposals will be evaluated based on the degree to which the proposal responds to the requirements outlined in Section IV: Proposal Requirements.
- Awardees will be required to publicly share project updates, participate in awards ceremonies as appropriate, and participate in at least one conference to present the project, to be determined during contract negotiation.

III. Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. After proposals are reviewed, NYSEDA will issue a letter to each proposer indicating the proposal evaluation results. NYSEDA reserves the right to adjust awards and related carbon goals based on available funding. **Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSEDA.**

Evaluation Criteria (In Order of Importance)

1. Goals & Cost Effectiveness (40 points)

- Does the proposal's requested funding and carbon savings goal provide more value than NYSEDA's CEF portfolio mean of **\$27 spent per mtCO₂e reduced** (calculated by taking the dollar amount requested and dividing it by the carbon reduction goal)? Has appropriate thought and consideration gone into the carbon reduction goal? Are project costs reasonable and based on experience? Is the methodology for estimating savings sound and has the proposer properly documented assumptions?

2. Clean Energy Action Plan (30 points)

- Does the proposer demonstrate a thorough investigation of potential measures and sound reasoning for selecting their proposed approach? Does the proposed approach utilize well established means of implementing energy efficiency and/or distributed energy resource projects? Does the proposed approach utilize technologies or solutions that have proven themselves in the marketplace? Is the timeline for implementing the proposed approach reasonable and appropriate? Is the proposer willing to share stories of success with the public?

3. Experience (30 points)

- Does the proposer have a demonstrated record of sustainable planning and implementation? Is there a track record of achieving sustainability goals? Has the proposer traditionally undertaken energy efficiency or distributed energy resource projects? Does the personnel detailed in the proposal have adequate experience and expertise to implement the proposed approach?

Program Policy Factors

A Scoring Committee will review and rank all proposals. NYSDERDA will review this evaluation and ranking, and may consider the following program policy factors in making award decisions; the degree to which:

- There is diversity of technologies, approaches, and methods utilized to achieve carbon savings;
- There are additional, non-carbon benefits to the proposed approach (e.g. air pollutant emission reduction, worker health and safety, job retention or creating, water savings, etc.); and
- There is diversity among awardee sectors and industries.

IV. Proposal Requirements

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

The proposer's goal should be to concisely present the information needed to fully address the evaluation criteria (see Section III: Proposal 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 may reduce, rather than increase, a proposal's standing per the evaluation criteria.

Proposals must follow the below format and include the following required information:

Proposal Narrative

The Proposal Narrative and its associated attachments will serve as the basis by which the proposal is evaluated. The responses to the prompts within this section serve as the proposer's opportunity to address the evaluation criteria set out in Part III.

Each page of the Proposal Narrative should state the name of the proposer, the RFP number (3757), and the page number. The proposal must be in the following format, with items in the sequence shown:

Please complete the Proposal Narrative by responding to the questions and instructions below. The Proposal Narrative MUST:

- Use the section headings established below and within the required attachments
- Be assembled in the order established below
- Adhere to page limits
- Include the name of the proposer, RFP number (3757), and page number on each page

1. Proposer Goals

- Describe your objective in applying to this program. How will you achieve this objective? Clearly indicate your Carbon Savings Goal in mtCO₂e and the dollar award you are requesting. **(2 pages)**

2. *Experience*

- Discuss your company's overall approach to energy sustainability. How is sustainability engrained in your business and management processes? How is it tracked? Do you have staff dedicated to energy management and/or an energy team? Do you have sustainability goals, and if so, what are they and how do you hold yourself accountable? **(3 pages)**
- Describe past experiences and projects done with NYSERDA and utility programs over the past 3-5 years. How does this program better suit your needs? **(2 pages)**
- Provide a list or organizational chart of all team members involved. For each team member, summarize the member's:
 - Roles and responsibilities - in developing the Clean Energy Action Plan and/or implementing measures.
 - Experience - to demonstrate the value and skills they bring, and how their participation will help in meeting your carbon goal. **(3 pages)**

Clean Energy Action Plan

- Attachment A – Clean Energy Action Plan Template
- Attachment B – Clean Energy Action Plan Project Register.

Site Identification

Indicate the sites to which you would allocate program funding. Please use **Attachment C – Site Identification Template**

Please note: Challenge awardees will be precluded from participation in other NYSERDA or NYS utility programs for the same action(s) at the site(s) included in response to this solicitation.

Budget

- Attachment D – Budget

Proof of Eligibility

The proposer will also be required to upload documentation during proposal submission that demonstrates that the minimum criteria for Program Eligibility outlined in Section II have been met. **Please ensure that you upload the Proof of Eligibility along with your Proposal Narrative in one PDF document in the Salesforce application.**

1. Proof of SBC payment shall be provided by a copy of a recent utility bill demonstrating payment of the SBC (Note: If funded measures will be implemented at multiple sites, a bill will be required for each site)
2. Proposers will be required to provide adequate proof of minimum average demand. Forms of proof can include, but are not limited to, the following:
 - 12 continuous months of utility bills for each site included in this proposal;
 - A letter from the proposer's utility company or energy supplier attesting that the proposer meets the requirement;
 - Data from installed energy monitoring or tracking software that demonstrates the required level of demand.

V. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

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

Contract Award - NYSEDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Attachment E - Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 8 weeks from the proposal due date whether the proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

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

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

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

VI. Attachments:

Attachment A – Clean Energy Action Plan Template

Attachment B – Clean Energy Action Plan Project Register

Attachment C – Site Identification Template

Attachment D – Budget

Attachment E – Sample Agreement



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Late proposals not accepted.

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I. INTRODUCTION

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals from vendors of energy and utility benchmarking software to become the Benchmarking Software Tool provider for an upcoming P-12 Schools Benchmarking Program. P-12 is defined as Prekindergarten through Grade 12 Education. This RFP is seeking vendors who offer a benchmarking software package as a method for the P-12 sector to measure, track, assess and share their utility, greenhouse gas (GHG) and cost performance metrics across schools in New York State (NYS). The goal is to demonstrate the value of comprehensive and continuous benchmarking and how it can be used to identify inefficiencies and maximize energy performance.

The objective of this RFP is to select a Benchmarking Software Tool and utilize it across schools in NYS, gaining a deeper understanding of the following:

- Role and impact of benchmarking schools across NYS.
- Barriers and solutions to benchmarking schools across NYS.
- Energy, sustainability and budgetary performance of schools across NYS.
- Potential improvements to energy efficiency and operational and maintenance practices of schools across NYS.
- Impact of the potential public transparency and verification of the energy and sustainability performance of schools across NYS.

The selected tool will be used to provide data analysis utilizing energy and sustainability data provided by participating schools. NYSERDA plans to cover the costs for schools to utilize the selected Benchmarking Software Tool for a minimum of four years. NYSERDA reserves the right to extend the contract agreement and/or add available funding to support the use of the selected Benchmarking Software Tool beyond four years.

The selected Benchmarking Software Tool will:

- Be the only subsidized benchmarking tool supported through the upcoming P-12 Schools Benchmarking Program (anticipated launch Q3 2018).
- Receive publicity through NYSERDA's website, case studies and other materials, as available.

Informational Webinar: NYSERDA will hold one (1) non-mandatory, informational session to provide an overview of the RFP and address any questions on **June 26, 2018 at 10:00 am (EST)**.



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To register for the webinar, visit: <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=e6445529dd521fdef4c56e66757b99389>. It is encouraged that questions be submitted in advance to CommercialPrograms@nyserda.ny.gov. Following the webinar, NYSERDA will post questions and responses on NYSERDA's "Current Funding Opportunities" website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). NYSERDA will post all questions anonymously, and NYSERDA's written responses will supersede any responses given during the proposer webinar.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Funding Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

Contacting NYSERDA About a Proposal: No communication intended to influence this procurement is permitted.

If you have technical questions or other questions about this solicitation, the **designated contact is Hannah Morgan, Project Manager** at (518) 862-1090, ext.3606 or by email at Hannah.Morgan@nyserda.ny.gov.

If you have contractual questions or questions about NYSERDA's processes and policies regarding this solicitation, the **designated contact is Nancy Marucci, Assistant Contract Manager** at (518) 862-1090, ext.3335 or by email at 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 may result in a proposer being deemed a non-responsible offerer and may result in the proposer not being awarded a contract.

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



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5pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Funding Opportunities" section of NYSERDA's website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

II. PROGRAM INFORMATION

There are over 4,000 public and private schools in New York State that may be eligible to participate in NYSERDA programs due to their contribution to the System Benefits Charge (SBC) on their electric bill. It is estimated that NYSERDA will engage a significant percentage of the schools in benchmarking over a four-year period through the upcoming P-12 Schools Benchmarking Program (anticipated launch Q3 2018). NYSERDA will provide funding for schools to utilize the benchmarking software that will include semi-annual benchmarking and operational and maintenance insights as a result of using the tool. These efforts will be conducted by pre-selected NYSERDA Consultants. Proposers to this RFP are not being asked to provide these services, but the selected proposer will train the NYSERDA Consultants in use of the tool and provide on-going support.

The vendor shall offer an energy and utility benchmarking software package including, but not limited to hosting, maintenance and support of the software and providing training to NYSERDA Consultants. The software must allow schools and NYSERDA Consultants to input all forms of energy and utility information such as invoices and delivery receipts. The schools are located throughout New York State and the software platform shall be able to support over 4,000 users across multiple locations. NYSERDA must have the ability to administratively manage all activities and be able to see which schools have reported and what data requirements are still needed to produce the required internal reports and assessments. NYSERDA must have access to view all of the data reported from schools across NYS. A desired outcome is for each school location to have access to a specific website, through an internet browser such as Internet Explorer, which would allow for direct local input of information that can be accessed by all authorized users.

It is not yet known to what extent the benchmarking data will be made public, however, NYSERDA hopes to encourage a sense of competition between schools and develop a method of tracking clean energy success in the P-12 market across NYS.

Definitions

- Vendor – The benchmarking software tool company.
- Proposer –The benchmarking software tool vendor or company applying to this solicitation.
- Awardee – The benchmarking software tool vendor or company selected for an award under this solicitation



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- User – The individual using the benchmarking software tool. The individual may be a NYSERDA Consultant or a school staff member.

Benchmarking Software Tool Eligibility Requirements

The proposer's benchmarking software tool shall be capable of meeting the following requirements:

- Must be able to meet the Minimum Benchmarking Tool Input Requirements (see Attachment A – Minimum Benchmarking Tool Input Requirements).
- Must be able to capture and track utility (electricity, gas, oil, steam, propane, water, etc.), greenhouse gas emissions (GHG) and cost performance within a single building and across a portfolio of buildings (e.g., all school buildings within a single district).
- Must be able to calculate energy use intensity (EUI) measured in Kbtu/ft²/yr utilizing the Energy Star Portfolio Manager methodology. Must be able to calculate site and source EUI, but source EUI must be the basis for the benchmarking tool.
- Must be able to calculate and analyze performance metrics (e.g., EUI, greenhouse gas emissions, cost).
- Must be able to, at a minimum, use monthly meter data at the whole-building level to provide analysis, including, but not limited to:
 - Graphics showing the energy metrics as a function of time for one or more periods simultaneously.
 - Total energy/fuel type purchased and/or consumed.
 - Benchmarking groups of building type or category type (e.g. middle schools).
 - Conversion of all energy types and use into British Thermal Units (BTUs) based reports.
- Must be able to track energy generation data from on-site renewable energy systems.
- Must be able to account for weather normalization based on heating and cooling degree days.
- Must be able to generate and provide a visual dashboard of building performance and energy insight metrics in a format that is clear and accessible for building owners. Dashboard must be able to display information at both building-level and district-level, where applicable. Dashboard must show the energy use intensity (EUI) metrics as a function of time for one or more periods.



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Ideally, the dashboard has the ability to be embedded on other websites to display and showcase building performance data to the public.

- Must support upload of utility data in Excel format into the tool.
- Must be able to link to Energy Star Portfolio Manager and receive a score. All data fields required for P-12 Schools to get an ENERGY STAR score must be included in the tool.
- Must be able to report, share, access and export data between P-12 schools across NYS, in order for schools to compare performance metrics. A desired outcome is for schools to make data public to other schools in NYS (e.g., School A can automatically view School B's data, but School B has the option to opt-out in making data public to School A).
- Must be able to generate user-friendly reports that summarize benchmarking results for each school and compares the school to schools statewide.
- Must be able to generate district-wide summary reports that illustrates how the schools within a district compare.
- NYSERDA and its designee(s) must be able to access and export detailed and summary benchmarking data for schools program-wide and in specific regions of New York State.

Benchmarking Software Proposer Requirements

The proposer shall be required to provide the following:

- Licensing and contracting service options with NYSERDA and/or the schools.
- Customizing the tool specific to the needs of the NYS P-12 Sector.
- Coordinating the initial setup project requirements with the schools, NYSERDA and/or NYSERDA's Consultants.
- Hosting, maintaining and updating of the database and Web applications.
- Providing training to the NYSERDA Consultants specific to tool capabilities and data entry in the initial launch of the benchmarking program.
- Providing on-going customer support to the NYSERDA Consultants.



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- Archiving the data collected from the benchmarking tool for up to 10 years and transferring the data to NYSERDA. NYSERDA **must** have the ability to download or access the raw data on demand and at the end of the program. The data must be in XML or CSV format.

III. PROPOSAL REQUIREMENTS

The proposer's goal should be to concisely present the information needed to fully address the evaluation criteria (see Section IV: Proposal Evaluation). Proposals should not exceed 40 pages. Proposals that grossly exceed 40 pages or fail to follow format guidelines may be rejected as non-responsive.

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal's standing per the evaluation criteria.

Each page of the proposal should state the name of the proposer, the RFP number (RFP 3788), and the page number. **Proposals MUST be in the following format, with items in the sequence shown.**

Late proposals and proposals lacking the following content in the sequence described may be rejected. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal.

Please include the following information as outlined in the **Proposal Outline (Attachment B)**:

- Cover Letter
- Qualifications
- Statement of Work and Project Schedule (Attachment C)
- Benchmarking Tool Functionality and Benefits
- Experience and Team Qualifications
- Budget and Fee Proposal (Attachment D, Part 1 and Part 2)
- Contract or License Agreement Options
- List of References

Proposers must carefully review the Proposal Outline to ensure that all required sections are completed, adhere to established page limitations, and follow the order set in Attachment B: Proposal Outline.



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IV. PROPOSAL EVALUATION

Proposals that submit the information outlined in the **Proposal Outline (Attachment B)** will be reviewed by a Scoring Committee.

NYSERDA anticipates that the Proposal Evaluation will be a two-step process consisting of 1) proposal review and a 2) webinar or face-face meeting to provide a demonstration of the proposed benchmarking software tool from the top ranked proposers.

Step 1. Proposal Review

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the following evaluation criteria ***in order of importance***:

Cost-Effectiveness

Proposals will be evaluated based on cost-effectiveness and measured against other submitted proposals, specifically:

- How competitive is the cost relative to other submitted proposals?
- Is the proposed budget reasonable given: (1) the abilities of the tool (2) ease of use of the tool, and (3) answers to the Budget and Fee Proposal (Attachment D, Part 2)?
- If provided, how comprehensive and price competitive is the alternative fee structure, pricing methodology and sample pricing proposal?

Benchmarking Software

To the extent that the proposal:

- Demonstrates and describes the software's ability to meet all requirements in Section II – Program Information specific to the Benchmarking Software Tool Eligibility Requirements?
- Demonstrates and describes the vendor's ability to meet all requirements in Section II- Program Information specific to the Benchmarking Software Proposer Requirements?

Case Studies and Dashboard

To the extent that the proposal:



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- Demonstrates experience and provides at least 2 case studies where the benchmarking software tool was successfully implemented in a P-12 school or school district?

To the extent that the case studies include information on:

- Services and products offered
- Participating school facility (type, size, number of students)
- Impacts (energy and cost savings)
- Visuals (e.g., benchmarking dashboards)
- Ease of use or accessibility of utilizing platform (testimonial)
- Example deliverables/reports/screenshots from the benchmarking project
- Examples of the complementary activities or services provided, if any

Experience and Team Qualifications

To the extent that the proposal:

- Includes a description of how long the benchmarking software tool has been available in the market?
- Includes a summary of key information about the company and all other companies that are part of the team? If the proposer is collaborating with another company, the proposal includes a clear delineation of work and responsibilities?
- Includes adequate qualifications for team members and all collaborating entities?
- Provides resumes for the key personnel and justifies the roles of the proposing team and any partner team members involved?
- Identifies the point person for the contract agreement.

Project Statement of Work (SOW) and Schedule

To the extent that the proposal:

- Provides a SOW (Attachment C) which has well-defined tasks and deliverables?



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- Provides a schedule which seems reasonable for the completion of the tasks and deliverables?
- Describes how the data would be transferred at the end of the agreement?

Contracting

To the extent that the proposal:

- Provides multiple licensing and contracting approaches possible and their associated costs and recommends a preferred approach based on the goals of the solicitation? NYSERDA's **preferred option** is to hold the license for the software.

References

To the extent that the proposal:

- Provides three customer references that NYSERDA can contact directly?
 - The references must be customers the proposer has worked with in the past five years. For each reference, include a description of how the reference can speak to the proposer (e.g. describe relationship of reference and proposer). One of the references must be a person employed by a P-12 school.

Overall Proposal

To the extent that the proposal:

- Provides the information in a clear and organized manner.
- Exceeds the minimum requirements for the benchmarking software tool by describing additional services, functionality or benefits provided by the benchmarking software tool.

Step 2: Demonstration

NYSERDA reserves the right to invite the top ranked proposers, as determined in Step 1, to provide a demonstration of the Benchmarking Software Tool either via a webinar or face-to-face meeting. It is estimated that NYSERDA will hold the demonstration(s) the week of August 6, 2018.

The proposer must be prepared to provide demonstration of the capabilities requested in this solicitation.

The Scoring Committee may ask questions and clarifications related to the demonstration and written proposal in order to complete their evaluation. NYSERDA's evaluation of the demonstration will be



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focused on the ease of use of the platform (e.g., uploading, accessing, tracking, analyzing and sharing data) and the visual graphics of the benchmarking tool dashboard. The proposer must be prepared to address any questions or provide clarification regarding information outlined in the proposal. NYSERDA may request the proposer provide a URL and guest credentials for the benchmarking platform, to test and evaluate the tool during the demonstration.

Program Policy Factors

NYSERDA reserves the right to accept or reject proposals based on the following program policy factor(s):

- 1) The degree to which pricing and hourly rates are in line with the rest of the market.
- 2) The degree to which the Proposer has the resources (human and financial) to be able to complete the project.
- 3) The degree to which the proposed project optimizes the use of funding to achieve programmatic objectives.
- 4) The degree to which the proposed project can deliver immediate and long-term solutions.
- 5) The degree to which the proposed project creates or preserves jobs in New York State.

NYSERDA expects to notify awardees in approximately 8 weeks from proposal due date if the proposal has been selected to receive an award.

V. SUBMISSION PROCESS AND REQUIREMENTS

NYSERDA strongly prefers online submission for all solicitations. NYSERDA does not accept faxed or emailed submissions.

Complete and submit your proposal online on NYSERDA's "Current Funding Opportunities" website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). When submitting online, you will have to answer questions as part of this process, in addition to uploading documents. Therefore, you should allot at least 60 minutes to complete and submit your proposal. The online proposal system closes promptly at 5:00 PM on the date above. Files in process, attempted edits, or submissions after the due date, will not be accepted. It is the proposer's responsibility to ensure that all pages have been included in the proposal. If changes are made to this solicitation, notification will be posted on NYSERDA's "Current Funding Opportunities" website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

When completing your proposal, submit documents only in the follow formats:

- .doc, .docx
- .pdf

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- .xls, xlsx
- .ppt, .pptx, pps, ppsx
- Compressed versions of the above files types in .zip format

File names must include the proposer's entity name.

Proposal files should be searchable. Do not convert hardcopies into PDFs or any other type of file using a scanner or by taking a photo of the hardcopy. Individual files should be 100MB or less in file size. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

For detailed instructions on how to submit a proposal, read the "[Solicitation User Guide](#) [PDF]" located in the "Current Funding Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible.

A. Compliance with State Finance Law

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

VI. AWARDEE CONDITIONS

Please read this section carefully as it contains the requirements and conditions for awardees. The selected proposer will be issued an agreement with NYSERDA outlining the program requirements in Section II and the tasks needed to complete them. It is anticipated that the agreement will be for four years with an additional two, two-year extension periods allowable through 2025. Exact agreement lengths, including licensing agreement, will be negotiated during the contracting process and may extend beyond 2025 if it is determined the benchmarking effort requires and is approved to provide longer support.

The market uptake of the benchmarking software tool may take time. Please specify in the Budget and Fee Proposal (Attachment D, Part 2 – Q2) if the timing of benchmarking tool users will impact the prices included in the Budget and Fee Proposal and specify the upfront costs that will be embedded into year one of the agreement.

A. Contract Award

NYSERDA anticipates making one award under this solicitation. Any awardee of this solicitation will be considered a NYSERDA contractor. A contract may be awarded based on the initial proposal without



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discussion, or following limited discussion or negotiations pertaining to the statement of work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA will use the Sample Agreement (Attachment E) to contract successful proposals.

NYSERDA may, at its discretion, elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement (Attachment E) to those specifically identified in the checklist questions.

Selected proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

B. Accessibility Requirements

NYSERDA requires contractors producing content intended to be posted online 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](#).¹

C. Website Design and Security

The web tool will need to be developed in accordance with the guidelines in **Attachment F – NYSERDA Web Design Process**.

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 the NYSERDA Information Security Officer (ISO) prior to publishing. The website must be rescanned after any code changes. If the website is built on a common code base, regular updates will require re-scanning. The website will not be published until the vulnerability scan has been approved by NYSERDA ISO.

The Contractor will be responsible for applying security patches as they become available. The Contractor will notify the NYSERDA Project Manager in the event new software features/functionality have been

¹ <https://www.nyserdera.ny.gov/-/media/Files/About/Style-Guide/ADA-Accessibility-Requirements.pdf>



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added to the website so that it may be scanned for vulnerabilities. The Contractor will be responsible for remediating any vulnerabilities.

VII. GENERAL CONDITIONS

If changes are made to this solicitation, notification will be posted on NYSERDA's "Current Funding Opportunities" website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

A. Confidential and Proprietary Information

Give careful consideration before submitting confidential information to NYSERDA as part of your proposal. Consider and review whether confidential information is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. Information submitted to NYSERDA that the proposer wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501, <https://www.nyserdera.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA is bound by State Freedom of Information Law and cannot guarantee the confidentiality of any information submitted.

B. Freedom of Information Law

[The New York State Freedom of Information Law, Public Officers law, Article 6](#),² 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."

<http://law.justia.com/codes/new-york/2015/pbo/article-6>

C. 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.

² <https://www.dos.ny.gov/coog/foil2.html>



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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
<https://esd.ny.gov/>

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
<https://ny.newnycontracts.com/>

D. State Finance Law, Sections 139-j and 139-k

NYSERDA is required to comply with [State Finance Law sections 139-j and 139-k](#).³ These provisions contain procurement lobbying requirements. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

E. Tax Law Section 5-a

NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the Department) whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification: see [ST-220-TD](#).⁴ 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](#).⁵ The Department has also developed [guidance](#)⁶ for contractors.

³ <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>

⁴ http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf

⁵ http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf

⁶ <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>

***Proposals Due: July 17, 2018 no later than 5:00 PM Eastern Time*****F. Limitation**

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

G. Disclosure Requirement

The proposer must 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 must 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. LIST OF ATTACHMENTS

- Attachment A – Minimum Benchmarking Tool Input Requirements
- Attachment B – Proposal Outline
- Attachment C – Statement of Work and Project Schedule Template
- Attachment D – Budget and Fee Proposal, Part 1 and Part 2
- Attachment E – Sample Agreement
- Attachment F – NYSERDA Web Design Process



ANDREW M. CUOMO
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

“Solar For All Facilities”
Request for Proposal (RFP) 3802
\$ 19,800,000

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

Round 1 Proposals Due: July 24, 2018 by 5:00 PM Eastern Time*

A pre-bid webinar will be held at 2:00 PM on June 12, 2018. Register at <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=e3046c90d1c1fecf0871cdae9f5b18906>.

NYSERDA will provide details and notice of subsequent rounds at a later date.

Community solar enables customers to share in the benefits of solar power even if they live in an apartment or other building that cannot support a rooftop solar system. To help low-income New Yorkers access the benefits of solar power, NYSERDA wishes to secure community solar subscriptions for low-income customers and provide them at no cost to more than 10,000 low-income New Yorkers.

NYSERDA requests proposals for Solar For All Facilities (“Participating Facilities”) to serve residential customers participating in Solar For All (“Participating Subscribers”) with small, no-cost community solar subscriptions. A Participating Facility may comprise all or part of a solar photovoltaic project interconnected under New York’s Community Distributed Generation policy (“CDG Project”), subject to the rules described herein. Each Participating Facility will be managed by a “Facility Sponsor,” which will respond to this RFP, contract with NYSERDA, and be responsible for fulfilling the requirements described in this solicitation. As an optional component to the proposal, Facility Sponsors may also include Community Co-Benefits (“Co-Benefits”) beyond the cost savings that will be delivered to Participating Subscribers.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link “[Application Instructions and Portal Training Guide](https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx) [PDF]” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Christopher Rogers (Designated Contact) at (212) 971-5342, ext.3020 or by e-mail at Christopher.Rogers@nyserda.ny.gov or Max Joel (Designated Contact) at (212) 971-5342, ext. 3035 or by e-mail at Max.Joel@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or Venice.Forbes@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

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

I. Introduction

Community solar enables customers to share in the benefits of solar power even if they live in an apartment or other building that cannot support a rooftop solar system. To help low-income New Yorkers reap the benefits of solar power, NYSERDA wishes to secure community solar subscriptions for low-income customers and provide them at no cost to more than 10,000 low-income New Yorkers.

NYSERDA requests proposals for Participating Facilities to serve Participating Subscribers with small, no-cost community solar subscriptions. A Participating Facility may comprise all or part of a solar photovoltaic project(s) interconnected under New York's CDG Project policy, subject to the rules described herein. Each Participating Facility will be managed by a Facility Sponsor, which will respond to this RFP, contract with NYSERDA, and be responsible for fulfilling the requirements described in this solicitation. As an optional component to the proposal, Facility Sponsors may also include Co-Benefits beyond the cost savings that will be delivered to Participating Subscribers.

II. Program Requirements

Proposers must complete a *Proposal Worksheet* using the template provided in Attachment B – Proposal Worksheet, which must be accompanied by documentation regarding project information, proposal information, and project eligibility.

A. Overview of Solar For All Participating Facilities and Facility Sponsors

1. Facility Sponsors will enter into a service contract with NYSERDA to allocate a portion of the CDG credits of a CDG Project to Participating Subscribers. The portion of the CDG Project allocated to Participating Subscribers will be the Participating Facility.
2. Facility Sponsors (or related parties) will be responsible for ensuring the construction, interconnection, and ongoing operation and management of the CDG Project.
3. Participating Facilities may be no greater than 1 MW DC. Participating Facilities may represent a portion of CDG Projects larger than 1 MW DC, and may represent all or a portion of CDG Projects smaller than 1 MW DC.
4. NYSERDA will be responsible for acquiring individual Participating Subscribers and will provide the Facility Sponsor with all necessary subscriber information for the utility CDG Allocation Form ("Allocation Form"). NYSERDA will maintain a backlist of Participating

Subscribers, and the Facility Sponsor will update or replace Participating Subscriber information as directed by NYSEERDA. NYSEERDA anticipates that each Participating Subscriber will receive an allocation equivalent to approximately 1,000 – 2,000 kWh per year.

5. The Facility Sponsor will add the Participating Subscribers to the CDG Project's electric utility Allocation Form, and will provide NYSEERDA with verification of the utility's acceptance of the Allocation Form and the delivery of credits to the Participating Subscribers.
6. The Facility Sponsor will be responsible for all communication with the utility to ensure that Participating Subscribers receive the applicable CDG credits. The Facility Sponsor will promptly inform NYSEERDA of notification from the utility of any invalid subscriber accounts or other crediting issues, and will promptly modify subscriber information as directed by NYSEERDA.
7. The Facility Sponsor will bank any unallocated CDG credits from the Participating Facility to be allocated as directed by NYSEERDA prior to their expiration.
8. Facility Sponsors may not bill Participating Subscribers, or otherwise market products or services to Participating Subscribers except as approved by NYSEERDA in writing.
9. Subject to review and approval at NYSEERDA's sole discretion, the Facility Sponsor may elect to offer Participating Subscribers an "expanded subscription" for additional CDG credits, beyond the amount allocated under a Solar for All agreement, under a direct contract and billing arrangement between the Facility Sponsor and the Participating Subscriber.
10. The contract term for Participating Facilities will be ten (10) years.
11. Facility Sponsors will invoice NYSEERDA annually based on the projected CDG credits generated and allocated to Participating Subscribers by the Participating Facility for the subsequent year.
12. Annual payment to Facility Sponsors will be adjusted to reflect the difference between the projected and actual CDG credits generated and allocated to Participating Subscribers as documented by the Facility Sponsor ("annual true up"). In addition, the final annual payment will be calculated at 80% of the projected CDG credits; 20% will be held until the completion of the contract, when a final annual true up will occur.
13. The Participating Facility, and the Facility Sponsor's responsibilities, must be maintained in the event of a sale or other change in the status of the CDG Project.
14. The CDG Project and/or Participating Facility may make use of NY Green Bank financing or other NYSEERDA programs, subject to those programs' eligibility requirements and award processes.

B. Community Co-Benefits (Optional)

Facility Sponsors, as part of their proposal to this RFP, may elect to include commitments to Community Co-Benefits derived from the Participating Facility or associated CDG Project. Co-Benefits may include:

1. Workforce training and hiring commitments in local low-income communities.
2. Community-based or participant ownership models.
3. Other community or participant benefits.

Co-Benefits must be specific, viable, and enforceable; and must be supported by an inclusive and accessible process. Co-Benefits must be documented in the *Community Co-Benefits Plan* as described in **Section III. Proposal Requirements**, and Participating Facilities that include Co-Benefits will be subject to contingencies on program payments. Proposals that include Co-Benefits may be awarded additional points by the Scoring Committee as detailed in **Section IV. Proposal Evaluation**.

III. Proposal Requirements

Proposers must be the owner of an eligible CDG Project (see below) or have a binding commitment from the CDG Project owner that will allow the Proposer to meet all the requirements of a Facility Sponsor. The Proposer must document to NYSERDA's satisfaction that the owner of the CDG host meter, and/or other entities with an interest in the CDG Project, have waived any claims on the CDG Project that could hinder the performance of the Participating Facility or otherwise conflict with the requirements.

Proposals must be for Participating Facilities associated with CDG Projects in one of the state's Investor Owned Utility (IOU) service territories that are subject to the NY Public Service Commission's Order Establishing a Community Net Metering Program¹. CDG Projects in the service territory of the Long Island Power Authority are not eligible.

Proposals for Participating Facilities must demonstrate that the associated CDG Project is in an advanced state of development or has entered commercial operation as of June 26, 2018. If selected, the CDG Project must enter commercial operation within six (6) months of contract execution with NYSERDA, unless otherwise agreed by NYSERDA in writing. NYSERDA will determine eligibility based on the criteria set out below and documented per the Proposal Requirements. The Proposer must include with its proposal documentary evidence demonstrating the details listed below in **Sub-Section A. CDG Project Information, Eligibility Documentation, and Pricing**.

A. CDG Project Information, Eligibility Documentation, and Pricing [See Attachment B – Proposal Worksheet]

1. NY-Sun Incentive Application # and status
2. CDG Project location, electric utility, NYISO zone, date of operation, date of 25% interconnection payment (if applicable), VDER tranche status, and LSRV location (if applicable).
3. Technical information (azimuth, mount type, total installed capacity, inverter size, and estimated production) needed to project value of CDG credits per kWh and annual total (\$). Technical information will be verified prior to contracting.
4. Committed portion of injected annual production (also represented as kW and annual kWh equivalent) to CDG Project.
5. Bid price in \$ per kWh (also represented on an annual basis, fixed for the term of the agreement).
6. Documentation to NYSERDA's satisfaction that the Facility Sponsor either is the CDG Project owner (controls the CDG host meter) or has a contract with the CDG project owner authorizing the Facility Sponsor to control the CDG host meter in order to allocate CDG credits. Documentation to NYSERDA's satisfaction that the CDG Project owner is bound by the assignment clause of the contract so that the Participating Facility is maintained in the event of project sale.
7. CDG Project has completed Step 7 of the New York State Standardized Interconnection Requirements and Application process, has an executed Interconnection Contract, and made the full upgrade payment to the utility; or, if a Coordinated Electric System Interconnect Review ("CESIR") is not required, has an executed Interconnection Contract.

¹ New York Public Service Commission. *Order Establishing a Community Distributed Generation Program and Making Other Finding*. July 17, 2015. <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={76520435-25ED-4B84-8477-6433CE88DA86}>.

8. Site control for the CDG Project site for no less than 20 years documented by an executed lease agreement for the site, an executed agreement to purchase the site, or an executed license or other agreement granting exclusive right to use the site for the purpose of constructing and operating the CDG Project.
9. CDG Project has received all discretionary (non-ministerial) permits, approvals, and determinations from all Authorities Having Jurisdiction (AHJs), and is not subject to a solar moratorium in any AHJ; including SEQRA determination and special use permit where applicable.
10. CDG Project and Facility Sponsor have ability to securely exchange participating subscriber information with NYSERDA, manage all communication with the utility necessary to ensure that participating subscribers receive the applicable CDG credits, and meet all other technical and administrative responsibilities.

B. Community Co-Benefits Plan (Optional)

Proposers that choose to include Co-Benefits in their proposal must complete a *Community Co-Benefits Plan* using the template provided in Attachment C – Co-Benefits Template, with accompanying documentation. The *Community Co-Benefits Plan* and accompanying documentation must address the following criteria:

1. Team and Qualifications
 - Summary of applicable background and experience, including active connections to the relevant community.
 - Specific role of each team member/organization in implementing the *Community Co-Benefits Plan*.
2. Inclusion and Engagement
 - Plan for facilitating wider community engagement on Co-Benefits planning and implementation, and/or description of prior engagement activities and outcomes.
 - Description of how stakeholder groups will have opportunities to provide feedback and input throughout the Co-Benefits planning and implementation process.
3. Oversight and Enforcement
 - Identification of a qualified government or non-profit agency that will provide long-term oversight and enforcement of the Co-Benefits implementation, including a description of the relevant experience of the organization.
 - Detailed description of the monitoring and oversight that will be provided, which includes an enforcement mechanism to address performance, timeframe for implementation, a process for the verification of Co-Benefits.
4. Co-Benefits Activities and Outcomes

Detailed description of the planned Co-Benefits, including specific and quantitative commitments, activities to be undertaken, and outcomes to be realized prior to and after initial allocation/commercial operation. The *Community Co-Benefits Plan* may include one or more of the Co-Benefits below and must be documented as described.

- Workforce training and hiring commitments in disadvantaged communities
 - Documentation of partnership(s) with local training and/or employment agencies.
 - Detailed plan for training and hiring, including job descriptions and wage targets.
- Community-based or participant ownership models

- Documented commitment of anticipated community owners and/or facilitating representative organizations, and their participation (as applicable) in the project development process.
- Details on ownership and/or revenue sharing structure(s), including management, legal and financial terms and projected economic benefit(s) to community/participant owners.
- Details on project financing and sources, particularly locally-sourced financing.
- Documentation of protections in place to ensure that there will be no short or long-term negative financial impacts for low income participants/owners.
- Other Co-Benefits
 - Specific description and documentation of other community Co-Benefits associated with the project.

C. NYSERDA Solar For All Participating Facility Standard Contract

Participating Sponsors will execute the NYSERDA Solar For All Facility Standard Contract (Attachment A – Sample Agreement). Proposers may include a list of requested exception to the terms of the agreement with their proposals, which NYSERDA may accept or deny. Requests for exceptions will play no role in the evaluation of proposals.

IV. Proposal Evaluation

A. Clarification of Proposals and Interviews

While evaluating proposals, NYSERDA may request additional information about any item in a proposal. 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.

B. Eligibility Review

Proposals will be reviewed for eligibility per the criteria detailed in Sect. III: Proposal Requirements. Proposals that are deemed ineligible may be resubmitted with modifications to subsequent solicitation rounds.

C. Scoring Process

For each proposal, NYSERDA will calculate the Participating Facility's Leverage Ratio. Leverage Ratio is defined as the ratio of the projected electric cost savings to income-eligible program participants per CDG credit received to the proposed price per CDG credit. Proposals with Leverage Ratios of less than 1.1 will be deemed ineligible.

Eligible proposals will be awarded up to 100 points based on Leverage Ratio. The Scoring Committee may award up to 10 additional points for the *Community Co-Benefits Plan*, with the total proposal score not to exceed 100 points. Co-Benefits will be evaluated based on viability, inclusion and governance, oversight and enforcement, and the Co-Benefits activities and outcomes as demonstrated in the Proposer's *Community Co-Benefit Plan* and accompanying documentation. Proposals will then be ranked by score.

Eligible proposals with the highest Leverage Ratios will be deemed fundable subject to the following limits:

- No more than 50% of total program funding will be awarded in any one RFP round.
- No more than 40% of total program funding will be awarded to any one proposer, including subsidiaries and related entities.
- No less than 20% of the total program funding will be awarded to Participating Facilities in the area served by National Grid, New York State Electric & Gas, and Rochester Gas & Electric.

- No less than 20% of the total program funding will be awarded to Participating Facilities in the area served by Central Hudson Gas & Electric and Orange & Rockland.
- No less than 20% of the total program funding will be awarded to Participating Facilities in the area served by Con Edison.

D. Program Policy Factors

NYSERDA reserves the right to accept or reject proposals based on the following Program Policy Factor(s):

- Geographic distribution.
- CDG Project size distribution.
- CDG Project owner and Facility Sponsor diversification.
- Inclusion of proposals offering Community Co- Benefits.
- Weighted average Leverage Ratio of all proposals funded.
- Total NYSERDA investment in the CDG Project and/or Participating Facility.

V. General Conditions

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

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

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

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

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

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

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

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of 10 years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 6 weeks from the proposal due date of whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

VI. Attachments:

Attachment A – Facility Standard Contract – Sample Agreement

Attachment B – Proposal Worksheet

Attachment C – Community Co-Benefits Plan Template

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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

(F) 716-842-0156

New York City

1359 Broadway

19th Floor

New York, NY

10018-7842

(P) 212-971-5342

(F) 518-862-1091

West Valley Site

Management Program

9030-B Route 219

West Valley, NY

14171-9500

(P) 716-942-9960

(F) 716-942-9961

Title Company Services to Support On-Bill Recovery Financing Request for Proposal (RFP) 3837

Proposals Due: May 3, 2018, 5:00 PM Eastern Time*

On-Bill Recovery (“OBR”) loans are made available through the Green Jobs-Green New York Act of 2009 and Power New York Act of 2011, allowing customers to finance eligible energy efficiency projects through a charge appearing on their utility bill. Project eligibility is determined in accordance with the Green Jobs-Green New York Act of 2009 and subsequent amendments. OBR financing is available for owners and tenants of one- to four-family dwellings, and small commercial and non-profit customers. The process requires that installation property ownership is verified through a Last Deed of Record or Last Owner’s search as a condition of obtaining an OBR loan. The legislation requires that a Declaration is filed in the county in which the installation property is located, the purpose of which is to notify subsequent installation property buyers of the outstanding debt against the meter. Finally, upon the loan repayment, NYSERDA prepares a Declaration of Repayment for filing with the county clerk, thereby extinguishing the filed declaration.

NYSERDA is seeking one or more title companies to provide either Last Owner’s searches or Last Deed of Record searches and filing services as described herein. The contract term will be for two years, with three one year renewals, at NYSERDA’s discretion.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link “[Application Instructions and Portal Training Guide \[PDF\]](https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx)” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Kevin Hunt (Designated Contact) at (518) 862-1090, ext. 3259 or by e-mail Kevin.hunt@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. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

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

I. Introduction

Green Jobs Green New York (“GJGNY”) is a statewide program that promotes energy efficiency, reduces energy consumption and greenhouse gas emissions, supports sustainable community development, and creates job opportunities. On Bill Recovery (“OBR”) loans, under the GJGNY umbrella, allow eligible building owners to finance qualifying projects through a charge which appears on their utility bill. OBR loans were authorized by the Power New York Act of 2011 for eligible customers in 1-4 family residential and small business/not-for-profit organizations.

Residential loans: OBR loans up to \$25,000 are available for terms of 5, 10 and 15 years, with interest rates determined based on household income. Residential loans are originated on NYSERDA’s behalf by Energy Finance Solutions (“EFS”). Following loan closings, on a weekly basis, the loans are transferred to NYSERDA’s loan servicer, Concord (“Loan Servicer”).

Small commercial and not-for-profit loans: Eligible businesses and non-profit entities can receive a maximum financing of \$50,000 at a fixed interest rate for up to 10 years. Small commercial/not-for-profit loans are originated through lenders that participate in NYSERDA’s Small Commercial financing program and are also serviced by Concord.

Hereafter, the residential loan originator and commercial lenders will be referred to as the “Loan Originator”.

II. Program Requirements

The following services are to be performed statewide:

Last Deed of Record Search or Last Owner’s Search Prior to loan closing, the Loan Originator will forward pertinent information to the Title Company, which will perform either a Last Deed of Record search or Last Owner’s search, at NYSERDA’s direction, to obtain a legal description of the installation property and verify the installation property’s current owner(s). The Title Company returns the search results with the information used by the Loan Originator to complete the Declaration.

Program to date, title companies have conducted approximately 14,278 Last Deed of Record searches.

Requirement: Upon request from the Loan Originator, or occasionally the Loan Servicer, the Title Company shall provide a Last Deed of Record or Last Owner’s search. The Title Company shall provide the names of all owners listed on the search and will include a Schedule A legal description of the property. The Title Company will electronically transmit the search results and Schedule A to the requesting party. The Title Company will be required to complete searches within five business days. Exceptions are made on a case-by-case basis for complex commercial searches. In the event a search cannot be completed within five business days, the Title Company will correspond with the Loan Originator to promptly identify the exception and, if feasible, provide an estimate when the request may be fulfilled.

Filing of Declarations- following an OBR loan closing, the Loan Originator forwards a Declaration to the Title Company for filing with the county or municipality in which the installation property is located. The Declaration notifies third parties of an outstanding OBR loan attached to the building’s meter.

Program to date, title companies have filed approximately 6,905 declarations.

Requirement: Following the loan closing, the Loan Originator forwards the executed Declaration and Schedule A (collectively, the “Declaration”) to the Title Company. The Title Company shall review the Schedule A for legibility, and to confirm it agrees with the deed description, and cause it to be filed with the appropriate county/local government office. Declarations are to be reviewed and submitted to the appropriate recording office within five business days of receipt from the Loan Originator. The recording office is instructed to forward the recorded document to the Loan Servicer.

In the event the Loan Originator encounters a situation concerning the ownership status of an installation property, the Title Company shall notify the Loan Originator of the problem within two business days of learning of the problem and shall work collaboratively with the Loan Originator to ensure that Declaration is prepared in a way that the document will be accepted for recording by the appropriate recording office.

Filing of Declaration of Repayment- once an OBR loan is paid in-full, NYSERDA provides the Title Company with a loan satisfaction (“Declaration of Repayment”) for filing with the county in which the installation property is located.

Program to date, approximately 435 Declaration of Repayments have been filed.

Requirement: Following loan satisfaction, NYSERDA will provide a Declaration of Repayment to the Title Company, which shall file the document with the proper county or local government office within five business days of receipt. Once recorded, the Title Company shall forward the satisfaction to NYSERDA.

Surrogate Court Searches

NYSERDA may request the Title Company to conduct a search of county surrogate court records to obtain letters of testamentary or letters of administration to identify the executor/executrix/administrator of the estate of a deceased borrower. In such instances, NYSERDA will provide the Title Company with decedents’ name, address and date of death.

Requirement: Within 14 days of the request, the Title Company shall submit to NYSERDA a document identifying the executor/executrix/administrator of the estate of the deceased borrower, or notify NYSERDA if the letter of testamentary or letter of administration is not on file.

Work Distribution: In the event more than one Title Company is selected, work will be assigned based upon a round robin system. Efforts will be made to ensure that the Title Company conducting the Last Deed of Record/Last Owner’s search also files the Declaration. NYSERDA reserves the right to adjust work distribution based upon performance of the selected Title Companies.

III. Proposal Requirements

Format. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The proposal must follow the format below.

1. Company/Proposer Information—Proposals must provide the following information:
 - Name of Business Entity (including any “Doing Business As” names)
 - Headquarters/Parent Company Location
 - History of Firm
 - Internet Web Site Address (if any)
 - Details of Entity’s Business Structure (Corporation, Partnership, LLC)
 - Date Founded
 - New York State and Other Pertinent Locations and Total Number of Employees at each
 - List any pending or on-going litigation that would threaten the viability of the firm or the performance of a contract resulting from this RFP.
 - If applicable, describe past or present work done for NYSERDA
2. Describe your understanding of services to be provided to NYSERDA. Such descriptions should be clear and concise.

3. Identify the primary contact, describing his or her experience and length of employment with the Proposer. Provide the names of personnel in the firm that will be assigned to NYSERDA's account and their experience in performing services similar to those requested. Include a description of each employee's function in the company, title, office address, and number of years of service with the firm and other relevant experience.
4. Discuss your firm's ability to provide statewide coverage. If there are areas of the state not directly serviced by your firm, discuss partnerships you maintain with other firms which will allow you to provide statewide services.
5. Pricing- it is expected that NYSERDA will pay a flat transactional fee for conducting Last Deed of Record or Last Owner's searches, the filing of Declarations and Declarations of Repayments, and Surrogate Court searches. On company letterhead, indicate what your rates will be for each year of the contract. It is further expected that the selected Title Company(s) will pay all county or municipal filing fees, which will be reimbursed by NYSERDA with no mark-up.

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

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

IV. Proposal Evaluation

Proposals 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.

1. Cost of services- on company letterhead, indicate the cost to conduct the following or each year of the contract, including the three renewal option years: Last Deed of Record search; Last Owner's search; the filing of Declarations; the filing of Declarations of Repayment; and Surrogate Court Searches. The Proposer may also propose an alternative pricing schedule, but alternatives must be cost effective.
2. Quality and depth of the firm's and staff's expertise, its ability to provide statewide services outlined in this RFP, and within the required timeframes.
3. The proposal- the Proposer's understanding of the services required and overall organization and quality of proposal, including cohesiveness, conciseness, and clarity of responses.

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, NYSEDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

Contract Award - NYSEDA anticipates making one or more award(s) under this solicitation. NYSEDA anticipates a contract duration of two years with three one-year renewal options, unless NYSEDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions.

Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately eight weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

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

VI. Attachments:

Attachment A –Sample Agreement



ANDREW M. CUOMO
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

Metocean Measurements in Support of Offshore Wind Energy
Request for Proposals (RFP) 3855
\$5,000,000 Available

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

Proposals Due: **May 31, 2018** at 5:00 PM Eastern Time*

Offshore wind energy could become a major source of affordable, renewable power for New York State, particularly on Long Island and in the New York City metropolitan area, where demand on the electric grid is greatest. Generating electricity with wind turbines located off New York's Atlantic coast has the potential to provide up to 39,000 megawatts (MW) of clean power for the State, enough to power 15 million homes.

On behalf of New York State, the New York State Energy Research and Development Authority (NYSERDA) is coordinating work being conducted by New York State agencies to advance the responsible and cost-effective development of offshore wind resources. As part of its leadership role, NYSERDA spearheaded the development of the *New York State Offshore Wind Master Plan* <https://www.nyserderda.ny.gov/offshorewind>, a comprehensive roadmap that encourages the development of offshore wind in a manner that is sensitive to environmental, maritime, economic, and social issues while addressing market barriers for offshore wind technology and aiming to lower electricity costs for consumers.

A strong knowledge of meteorological and oceanographic — metocean — conditions is essential for the safe and efficient design and operation of offshore wind installations. Wind speed data and other conditions have been modeled for the offshore study area (OSA), a 16,740-square-mile area of the ocean extending from the south shore of Long Island and New York City to the continental shelf break off the coast of New York State. However, only limited metocean data has been collected in the region. Uncertainty in physical conditions increases development risk and offtake bid prices. Obtaining better metocean characterization of the wind, wave, and ocean current environment of the offshore wind study area would help increase certainty of development conditions, which are useful in planning activities such as the refinement of project layout and turbine siting, key variables in lease auctions, and offtake.

In 2017, NYSERDA published a Metocean Plan (<https://www.nyserderda.ny.gov/-/media/Files/Publications/Research/Environmental/16-35-Metocean-Plan-Wind-Energy.pdf>) that recommended parameters for a wind resource assessment that could be carried out at a potential offshore wind farm site. The goal is to set out the recommended parameters for a wind resource assessment that NYSERDA, or a developer, could carry out at a potential offshore wind farm site. The aim of the

Metocean Plan is to define the scope of a wind resource assessment that would provide bankable and reliable wind resource data for a wind farm developer to reduce uncertainty and risk while increasing attractiveness to developers and investors.

Through this solicitation, NYSERDA seeks proposals for the collection of new metocean data via the deployment of metocean Light Detection and Ranging (LiDAR) system(s) — remote sensing equipment that uses pulsed laser light to determine wind speeds at altitude — in or around the OSA. The deployment will generally follow NYSERDA's Metocean Plan and the floating LiDAR systems may be outfitted with additional sensors to monitor other environmental and biological parameters. Along with reducing the cost of offshore wind energy, maximizing the benefit for State ratepayers, and accelerating the deployment of wind energy development off the coast of the State, the core goal of this undertaking will be to obtain and make public high-quality metocean data sufficient to conduct a robust wind resource assessment for yield prediction purposes.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Proposals must be submitted as a single file, inclusive of all supporting documents. Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting (Gregory Lampman – primary contact) (Designated Contact) at (518) 862-1090, ext. 3372 or by e-mail gregory.lampman@nyserda.ny.gov or (Matt Vestal – secondary contact) (Designated Contact) at (518) 862-1090, ext. 3027 or by e-mail matthew.vestal@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or nancy.marucci@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

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

I. Introduction

When developing an offshore wind site, detailed data must be collected regarding wind speed, direction, and other metocean conditions. This is to inform optimal site layout, design and operation, and perhaps more importantly, to understand the predicted wind resource at the site for a given design of wind farm. This information is relied upon when assessing the risk of project developments. Therefore, it is essential that the wind resource data and measurements are reliable, accurate, and bankable for the purposes of annual energy production (AEP) calculations.

Limited Metocean information and data available in the OSA. Coarse wind modeling carried out by the National Renewable Energy Laboratory (NREL) in 2010¹, indicated good levels of wind resource across the OSA. While this modeling does not provide all the answers, it indicated that further work should be undertaken and that there is significant potential for offshore wind in the area. Subsequently, NYSERDA carried out more focused studies targeting what is now identified as the Empire Wind lease area. This assessment indicated mean wind speeds of approximately 8.8 m/s (± 0.3) within this area providing a positive indication that wind speeds in the wider area are high enough for offshore wind energy development. This work additionally supported the conclusions drawn from NREL's modeling in 2010.

Through this solicitation, NYSERDA seeks proposals for the collection of new metocean data through the deployment of metocean Light Detection and Ranging (LiDAR) system(s) in the OSA. The deployment will generally follow NYSERDA's Metocean Plan.² In addition to the LiDAR unit, the floating LiDAR systems (FLS) will be outfitted to collect a range of metocean parameters (see Section II, F) and may be outfitted to collect other environmental and biological parameters. Along with reducing the cost of offshore wind energy, maximizing the benefit for State ratepayers and accelerating the deployment of wind energy development off the coast of the State, the core goal of this undertaking will be to obtain and make public high-quality metocean and other data sufficient to inform a robust wind resource assessment for yield prediction purposes.

II. Program Requirements

In 2016 NYSERDA published a Metocean Plan for the New York Offshore Study Area.² Through this solicitation NYSERDA is seeking proposals from Floating LiDAR System Suppliers (FLSS) and Data Management and Analysis Contractors (DMAC) to support the deployment of two (2) FLS in two (2) or more locations within the OSA for a period of up to two (2) or more years. Deployment of both FLS is anticipated for late 2018 or early 2019, but allowances may be necessary for permitting, weather conditions, etc. The requirements and recommendations for the hardware, data, validation, logistics and other considerations are described below. The DMAC and the FLSS must be independent from one another and have no legal relationship. The DMAC and FLSS will be contracted separately by NYSERDA.

The selected FLSS will enter into a data service contract with NYSERDA whereby NYSERDA is purchasing the data from the system and not the system itself. As such, there will be a requirement for NYSERDA and the DMAC undertake regular reviews of performance of the system throughout the campaign to ensure the system is meeting the standards expected within the contract. Proposing FLSS that can demonstrate in its proposal how greater performance in Acceptance Criteria can be achieved will be reviewed favorably. At a minimum the FLSS shall assure, and the DMAC shall confirm, that Key

¹ https://windexchange.energy.gov/files/pdfs/offshore/offshore_wind_resource_assessment.pdf

² <https://www.nyserdera.ny.gov/-/media/Files/Publications/Research/Environmental/16-35-Metocean-Plan-Wind-Energy.pdf>

Performance Indicators (KPI) are achieved, as outlined, in part, in the IEA Wind Recommended Practice 18; Floating LIDAR Systems (IEA RP 18 document³) and prescribed in Table 1 below.

Table 1. Key Performance Indicators

Definition	Acceptance Criteria Across total of six (6) Months of data
Monthly System Availability – 1 Month Average	≥90%
Overall System Availability – Campaign Average	≥95%
Monthly Post-Processed Data Availability – 1 Month	≥80%
Overall Post-Processed Data Availability	≥85%

The selected DMAC will be responsible for advising NYSERDA on technical issues pertaining to bankability and quality of data. The DMAC will also be required to provide technical input at the onset and during the campaign on an as needed basis. The DMAC will be required to maintain regular contact with the FLSS throughout the campaign, flagging any major anomalies or concerns in the data as soon as practicable. Finally, the DMAC will be required to produce data products and other Metocean outputs including annual energy production (AEP) calculations and P50 and P90 calculations.

A. Collaboration and Coordination

NYSERDA will retain overall coordination and management of the campaign. The selected FLSS contractor will be responsible for the buoy, LiDAR and other sampling equipment, mooring, permitting, deployment, maintenance etc. and will work independently of the DMAC to retain the objectivity of the data. All parties will work together from the start to assure coordination and maximize the benefit and efficiencies of a deployment.

Where the proposed FLS has been previously validated, and commissioned, the DMAC will review documentation provided by the FLSS to assure both been carried out correctly. Where the proposed FLS has not been validated or commissioned, the DMAC will oversee the process led by the FLSS to assure that both are been carried out correctly. The intent is to secure DMAC verification that there are no potential issues that may affect the integrity of the data collected.

The DMAC will be required to carry out regular checks (monthly preferred, minimum every 3-months) on the data provided by the FLSS. The FLSS will be required to provide this data on a routine basis as arranged with the DMAC for analysis. The DMAC will be responsible for working up the final data and developing interim and final reports and data products that include full descriptions of the methods, procedures and all associated metadata, as well as developing and archiving the digital datasets. The DMAC reports will include but are not limited to wind speed, AEP estimates, and P50 and P90 estimates for public dissemination.

³<https://community.ieawind.org/HigherLogic/System/DownloadDocumentFile.ashx?DocumentFileKey=99ec44ff-4493-4bad-6510-d42d152ae963&forceDialog=0>

B. Floating LiDAR Selection and Validation

FLS validation and verification is key to the bankability and confidence in the data from any offshore campaign. Although many guides and recommended practices set out the requirements for such validation, there is no set approach and many options are open to LiDAR suppliers when validating their system. There are several stages in the validation process, including a separate validation of the LiDAR itself as well as the performance of the buoy in an offshore environment.

LiDAR systems proposed by the FLSS to this solicitation must be verified through onshore tests in accordance with the guidelines set out in IEC 61400-12-1, Annex L.⁴ The LiDAR must be well accepted within the industry and have been used in numerous onshore or offshore trials with success demonstrating high levels of accuracy and reliability and meet the best practice criteria set out in the Carbon Trust Roadmap.⁵ In addition, the guidelines on verification, industry acceptance and motion compensation as set out in the IEA RP 18 document,⁶ including RP57 – 60 inclusive must be followed.

To maximize the confidence in the data, preference will be given to floating LiDAR models (not necessarily the system itself) that demonstrate they meet the KPIs set out in the Carbon Trust Roadmap on at least two different offshore trials. Additional preference will be given to LiDAR's that have been validated on more than one buoy design.

The FLS must demonstrate reaching Stage 2 as set out in the Carbon Trust Roadmap, with the allowance that this may not be required to be tested against an IEC compliant offshore met mast as required in the roadmap. Instead, it may be validated against another appropriate offshore reference. In either case, the appropriate third-party validation report or summary report should be provided to evidence that the system has reached Stage 2. If the FLS is not being validated against an IEC compliant offshore met mast, the FLSS will be required to provide a third-party validation that includes a discussion of the appropriateness of the offshore reference.

It is important to make the distinction between an FLS type and the unit itself. The system validation applies to the type, therefore, if an FLS type was previously validated and met the criteria of Stage 2 in the Carbon Trust Roadmap, then system validation may not be required. However, the proposing FLS must demonstrate in their proposal that the use condition and sea state of the validation trial do not bring significant uncertainty regarding the sea states expected in the OSA.

C. Location and Duration

The exact location of the buoy deployment within the OSA will be determined by NYSERDA based on factors including completion of the New York Area Identification process by the Bureau of Ocean Energy Management (BOEM). It is anticipated that each of the buoys will be deployed at an initial location within the area identified by BOEM, and likely within the New York Area of Consideration⁷ for a minimum of one (1) year, and subsequently moved to other locations within the OSA for another deployment of a minimum of one (1) additional year. The FLSS should budget for relocating each FLS

⁴ IEC. IEC 61400-12-1 Wind Turbines Part 12-1: Power Performance Measurements of Electricity Producing Turbines. 2015.

⁵ <https://www.carbontrust.com/media/422195/ctc819-owa-roadmap-commercial-acceptance-floating-lidar-technologies.pdf>.

⁶ <https://community.ieawind.org/HigherLogic/System/DownloadDocumentFile.ashx?DocumentFileKey=99ec44ff-4493-4bad-6510-d42d152ae963&forceDialog=0>

⁷ <https://www.nyserdera.ny.gov/All-Programs/Programs/Offshore-Wind/New-York-Offshore-Wind-Master-Plan/Area-for-Consideration>

one time. FLSS may propose additional or longer deployments as part of their proposals and/or extended durations. Deployments beyond two (2) years will be viewed favorably during proposal review.

D. Permitting and Insurance

The FLSS will be responsible for obtaining all required permits to support the campaign. In 2017 NYSEDA conducted a Multibeam Echo Sounder (MBES) Benthic Survey⁸ to provide planning-level characterization of the geological (sediment size and type), geotechnical (density of bottom), and benthic (animal habitat) characteristics of potential offshore wind energy areas off the shore of New York State. The survey collected and analyzed MBES data products (primarily high-resolution bathymetry and backscatter) and Sediment Profile Image (SPI) and Plan View (PV) photographic data to ground truth data of surface sediment characteristics (grain size, shear strength, and biological activity) and to identify areas with potential sensitive habitats. The surveys collected a total of 2,498 linear nautical miles of high resolution acoustic imagery of seafloor topography and relative seafloor hardness/softness data covering 229 square nautical miles (787 square kilometers). The SPI/PV survey occupied 300 stations totaling 1,181 SPI images and 1,177 PV images.

The data collected through this survey is expected to serve as the basis for the necessary permits to deploy a FLS. While the federal permits and processes are subject to change, the selected FLSS will be responsible for securing all the necessary permits for the duration of this effort. Permits may include multiple sites to allow flexibility in deployment locations. It is anticipated that permitting will include but may not be limited to a United States Army Corps of Engineers (USACE) Nationwide Permit 5 (NWP 5) and coordination with BOEM as necessary.

The NWP 5 pertains to the deployment of scientific measurement devices. An FLS qualifies under the regulations as a scientific measurement device and will be required to adhere to the general conditions set out as part of the Nationwide Permit 5. The NWP5 permit, and any others required, will be the sole responsibility of the selected FLSS.

The FLSS will be responsible for obtaining and maintaining insurance generally required by industry standards to support the campaign in such amounts and covering such risks in accordance with sound business practices by companies in similarly-situated businesses.

E. Logistics and Maintenance

The FLSS is encouraged to follow the relevant recommended practices within the IEA RP 18 document⁹ when carrying out installation and commissioning, which includes the following key points:

- Commissioning be carried out at the quayside.
- All verification checks have been carried out to confirm the LiDAR's performance.
- Installation and commissioning be carried out by a suitably qualified contractor, ideally with experience deploying and installation FLS previously.

⁸ <https://www.nyserda.ny.gov/-/media/Files/Publications/Research/Biomass-Solar-Wind/Master-Plan/17-25a-MBES-and-Benthic-Survey-Data.pdf>

⁹ <https://community.ieawind.org/HigherLogic/System/DownloadDocumentFile.ashx?DocumentFileKey=99ec44ff-4493-4bad-6510-d42d152ae963&forceDialog=0>

It should be noted that, one area where conditions are notably different in the northeast U.S. coastal waters to that in Europe is the increased prevalence of extreme weather conditions, including hurricanes. Therefore, European developed recommended practices and standards may not be sufficient when deploying in U.S. waters. The proposing FLSS must demonstrate in its proposal that it has (or has sub-contracted) competence and experience in deploying buoys in local waters (or waters similar to those off the coast of New York State). In addition to this, it must also provide an independent evaluation of its proposed mooring solution when submitting their proposal. This will ensure that adequate engineering and protection of the mooring occurs.

The FLSS proposals must also provide a basic Operations, Maintenance and Decommissioning Plan (OM&DP) with their proposal, detailing its deployment, operations maintenance and decommissioning strategy. A more detailed OM&DP will be required prior to deployment of the FLS. The OM&DP must include a description of the ongoing monitoring of data availability, on-board power system function and LiDAR data quality criteria as prescribed in RP 88 of the IEA RP 18 document. Monitoring must be conducted by the FLSS daily for the first two weeks of deployment and subsequently on a weekly basis as a minimum. Finally, this OM&DP must include the overall strategy for monitoring that includes alerts to trigger reactive interventions. The basic OM&DP submitted with the proposal shall describe the FLSS plans to replace the entire system, should it fail, in no longer than three weeks from the point that the fault is known, weather permitting. This will require a standby system that can be shipped in at short notice, or any other solution the supplier prefers.

F. Data Collection

The following measured quantities will be collected by the FLS, as described in the IEA RP 18 document:

- Wind speed (10-minute average, min, max, and SD).
- Wind direction (10-minute average, min, max, and SD).
- Air temperature, pressure, and humidity.

All quantities will record the height and datum used, as relevant. Data on the FLS' inclination and translational and rotational accelerations must also be recorded for reference in case of anomalies. Humidity, cloud cover, and precipitation must also be recorded in line with the wind speed and wind direction data to assist with correlation.

Wind data will be recorded at a range of heights that cover the lowest rotor tip height, hub height, and highest rotor tip height. The FLSS proposers should propose, describe and justify in their proposal the anticipated heights for data collection. The actual heights measured may be modified based on discussions with NYSERDA and the DMAC. Additional instrumentation such as low-level anemometers or wind vanes must be described in the FLSS proposals and must be of high quality, have sufficient redundancy and be logged with the same parameters as the LiDAR data.

Some systems adopt motion compensation mechanisms to mount on the LiDAR. Where such a system is proposed, previous validation trials must be conducted with the system in place to demonstrate accuracy of the measurements including the motion compensation, and such trials described in the proposal. Motion compensation algorithms applied to the system should be outlined in the proposal in detail including whether the same algorithms have been applied on previous validation trials. It is preferable that previous validations be carried out with similar software or post-processing applied to verify the performance of the system as a whole.

As part of the campaign, it will be important to maximize the value of the deployment of the floating LiDAR buoy and measure other metocean data. In addition to the parameters noted above, proposing FLSS proposals must include, as a minimum:

- Significant maximum wave height (30-minute average).
- Peak and mean wave period (30-minute average).
- Wave direction, spectra, and salinity (at or near the surface).
- Current speed and direction (at or near the surface)
- Water temperature (at or near the surface).
- Tidal range and water depth.

How data will be transmitted from the buoy at regular intervals must be described in the FLSS proposal. Two separate means of communication are required, and the type of communication should switch automatically. Data retrieval should be primarily done remotely, either from shore (preferred) or a nearby workboat to minimize the need for crew to transfer onto the buoy for collection. Supplemental Environmental Data (see Section II, H) may be logged and stored on the FLS for later retrieval.

At a minimum, the communications system must allow real-time, or near real-time, monitoring of the status of the buoy and any critical systems including power and LiDAR data retrieval. Ideally, it will also allow real-time transfer of all metocean measurements taken on the buoy also, although this is not critical.

Due to issues regarding outages and potential loss of networks, the FLSS must have redundancy measures on board to store data for later transmittal. As per RP 64 of the IEA RP 18 document, there should be sufficient data storage on-board to ensure that all data measured for the duration of the campaign is stored and recoverable in the event communication fails.

Once recovered or transmitted, data will be delivered by the FLSS to the DMAC, as arranged between the two selected entities, for analysis and storage. Data should be stored securely with remote access available to NYSERDA, should it be required.

G. Data Management, Storage and Analysis

The DMAC must be independent from the FLSS and will be contracted separately by NYSERDA to handle and analyze the raw data from the wind resource assessment and other Metocean parameters and develop interim and final reports and data publications. The selected DMAC will work cooperatively with the selected FLSS to efficiently and securely receive and store all data. While not required, the FLSS must, upon request, provide the DMAC access to inspect the FLS. Where Supplemental Environmental Data is collected (see Section II, H), the DMAC will be responsible for disseminating the data to these entities as appropriate, or as directed by NYSERDA. The DMAC must demonstrate in their proposal that they are suitably qualified, experienced in the evaluation of FLS and associated metocean data. To ensure independence, the selected DMAC will need to verify that they are completely independent of the FLSS to ensure the integrity of the results.

The DMAC must include in their proposal a basic Data Management Plan (DMP) documenting how the DMAC will safeguard and analyze the data and provide NYSERDA access to the raw and processed data. A more detailed DMP will be required prior to the deployment of the FLS. The DMAC may also provide suggestions relating to further means of management of the data to make the processes as efficient as practical.

Data will be analyzed by the DMAC in relation to the Key Performance Indicators (KPIs) as set out in the IEA RP 18 document. This will include KPIs (see Table 1) for availability which will be monitored by the DMAC to ensure that availability criteria can be met at the end of the campaign. Data should also be checked in accordance with the parameters set out by the U.S. Department of Energy (DOE) in the Metocean Data Needs Assessment of U.S. Offshore Wind Energy.¹⁰

The DMAC will work with the FLSS at the onset of the project to identify a suitable filter or other means of assuring data which data is 'good', and ready for analysis by the DMAC. However, all data will be provided to the DMAC by the FLSS. The DMAC will employ best practice quality control measures to ensure any filters have been appropriately applied, or that the quality control is in-line with industry best-practice at the time.

The DMAC will be required to provide NYSERDA with periodic written reports analyzing the data with key conclusions for public release such as seasonal AEP, P50 and P90. The DMAC will also be responsible for making the data and metadata publicly available as soon as possible to help inform offshore wind energy developers and support competition through leasing and offtake. The DMAC will be responsible for hosting the data for the duration of the project and for (1) year after the secession of data collection. Further, the raw data must also be made available for analysis by others and further mesoscale modeling. These reports must also include an assessment of uncertainty as prescribed in section 8.6 of the IEA RP 18 document.

H. Supplemental Environmental Data - Optional

When deploying an FLS, there is the opportunity to simultaneously collect other data in addition to the required metocean data described above. For example, the next generation of floating LiDAR devices are being designed to incorporate additional environmental sensors such as marine mammal hydrophones and bird and bat acoustic detectors. Similar approaches could be used to collect additional information regarding ocean currents at different depths, salinity and chlorophyll-a concentrations etc. Alternatively, a hydrophone could be deployed separately, but using the same vessel located near the FLS to maximize efficiencies relating to vessel charter and personnel cost. Such environmental data would be useful in providing initial indications of, for example, the timing and density of aerial vertebrates or marine mammals in the area. It could also provide baseline projections of ambient noise to feed into any future environmental impact assessment studies relating to the impacts of operations such as piling. Ocean currents at depth could provide information about sediment transport during construction of wind energy projects.

Prospective FLSS proposers should review the New York State Offshore Wind Master Plan and NYSERDA's Environmental Research Program Plan - Research Area 4: Marine Wind and Wildlife¹¹ and consider how their systems may be able to accommodate such additional sensors when submitting proposals. Similarly, DMAC proposers are encouraged to include options for consideration by the

¹⁰http://usmodcore.com/content/file/AWST_MetoceanDataNeedsAssessment_DOE_FinalReport_14Jan2015.pdf

¹¹<https://www.nyserdera.ny.gov/-/media/Files/Publications/Research/Environmental/NYSERDA-Environmental-Research-Program-Research-Area-4-Marine-Wind-Wildlife.pdf>

selected FLSS and NYSERDA, as well. Coordination with academic, regulatory and other scientists working in the region is strongly encouraged. However, primary data collection (metocean) and handling and treatment of data should not be compromised, and critical power should be prioritized to the primary sensors.

III. Proposal Requirements

All responses submitted as part of this solicitation process become the property of NYSERDA. Careful consideration should be given before confidential information is submitted to NYSERDA 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. See Section V. Proprietary Information for details.

Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals. A total of up to \$5,000,000 is available to support this project. It is anticipated that the FLSS component will require approximately 90% of the available funding. Proposers may elect to submit a proposal for either the FLSS or the DMAC portions of this solicitation. The FLSS and DMAC proposals will be reviewed independent from each other. Additionally, proposers may elect to add optional components to their proposal with supporting budgets if those options bring additional value to the effort.

Proposal Submittal

Proposals must follow the format below. Proposers should include sufficient, succinct information to demonstrate their experience with similar work and detail their approach for this project. Each page of the proposal should state the name of the proposer, "RFP 3855", and the page number. The maximum length of each proposal section is shown.

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

Proposal Format

Proposals must be submitted as a single file, inclusive of all supporting documents. The file should be 100MB or less in file size. Proposals must follow the format provided below and should include sufficient, succinct information to support the proposed approach, confirm the requirements and answer the questions described in the Proposal Evaluation Criteria listed in Section VI. Proposals should not be excessively long or submitted in an elaborate format. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The maximum length of each proposal section is shown and should not be exceeded. If the proposer wishes to provide alternative options to those presented here for consideration by the reviewers, they may be presented along with appropriate justification and sufficient cost implications. NYSERDA reserves the right to negotiate changes to the proposed project approach, deliverables and deliverable formats with the selected proposer.

Proposed Program Component Checklist (1 page)

A completed Proposed Program Component Checklist must be attached as the front cover of your proposal and only one component may be selected.

Project Summary, Background and Objectives (1 Page)

Briefly describe the proposed approach and proposer qualifications as they pertain to this RFP. Provide context for the approach and experience in relation to completed and ongoing relevant work in the region and around the world. Include a description of the limitations of the project. The Project Summary should be a complete, stand-alone summary of the proposer's role in supporting this Metocean campaign on a single page.

Project Approach - For FLSS Proposers only (5 - 6 Pages + supporting documents not included in page count)

Experience: The proposal must describe the Proposers experience in coordinating with DMAC and experience with building, qualifying, deploying and maintaining FLSS. The proposal must describe any affiliations that the FLSS has with any known proposing DMAC and describe how firewalls will be employed to ensure the integrity of the results.

FLS System: The proposal must describe in detail each of the individual components and the complete FLS to be deployed. This must include, but is not limited to the electronic, power, structural components, the mooring system etc. Independent justification of the proposed mooring solution must be provided that demonstrates that the mooring system provides adequate engineering and protection.

Validation: The proposal must describe in detail the validation process used to qualify the FLS, including the reference used in the validation and the use condition and sea state under which the validation took place. If the FLS is not being validated against an IEC compliant offshore met mast, the proposal must provide a third-party validation that includes a discussion of the appropriateness of the offshore reference. In general, this should include sufficient information to bring confidence to the quality of the data to be collected. Third party validation reports, or summaries of the same, may be appended to the proposal. The proposal should include a description of how they will improve on the KPI Acceptance Criteria (Table 1) will be accomplished.

Operations and Maintenance and Decommissioning: The proposal must describe how the initial and secondary deployments of the FLS will be accomplished and by whom. The proposal must describe any limitations to these deployments, including an estimate of when the initial deployment could be possible (in months from notice to proceed), costs associated with a secondary deployment and any limitations to deployment.

The proposal must describe the proposers experience working with BOEM or other federal regulators and experience securing permits to deploy FLS in waters off the coast of the United States and/or elsewhere. Any issues or concerns with permitting, such as data needs and anticipated timeframes should be described. Any issues or concerns with securing insurance generally required by industry standards should be described.

The Proposal must include a basic Operations, Maintenance and Decommissioning Plan (OM&DP) detailing the logistics of the deployment, including the commissioning at the quayside and verification checks to confirm performance. The OM&DP must also describe the proposers approach to replacing the entire system within three (3) weeks should a fault or other issue become known.

Data Management: The proposal shall provide a description of all parameters to be measured, the manufacturer and model of the equipment, the frequency of the measurement, the reported data units, and the methods by which each of the measurements will be collected and stored. The proposal must describe how, and how frequently the data will be transmitted from the buoy and how communications will be switched between the separate means of communication. The proposal must describe what data is being delivered and any post-processing prior to delivery. The proposal must include the plan to repair or replace components, or the entire system should it fail, in no longer than three weeks from the point that the fault is known, weather permitting.

Supplemental Environmental Data: If the proposer will be collecting Supplemental Environmental Data (see Section II, H above) beyond what is required in this solicitation, the rationale for the collection of this data must be described. The equipment deployed, and type, frequency and timing of the data collection must be described in the proposal such that the value is fully explained. Additionally, the proposer should describe how the work will be coordinated with any outside organizations, minimally who those organizations are and how the data will be made public. Costs, total or in-part, associated with the collection, analysis and dissemination of this data may be included in the budget as either a direct cost to the proposer, or via a sub-contract with the lead research institution.

Project Approach and Experience - For DMAC Proposers only (5 - 6 Pages)

Experience: The proposal must describe the Proposers experience working with FLS data, experience verifying and validating FLS, certifying commissioning of FLS and in coordinating with FLSS. The proposal must describe any affiliations that the DMAC has with any known proposing FLSS and describe how firewalls will be employed to ensure the integrity of the results. The proposal must describe how the proposer will work with the FLSS to identify a suitable filter or other means of assuring which data is 'good', and ready for analysis by the DMAC.

Data Management: The proposal must include a brief Data Management Plan (DMP) documenting how the proposer will employ KPI to assure bankability and quality of the data, and the regular checks that the DMAC will conduct on the data. Additionally, the DMP must describe how the DMAC will safeguard and protect the data and provide NYSERDA access to the raw and processed.

Communications and Data Availability: The DMP must describe how the DMAC will communicate and provide data access to NYSERDA. Further, the proposal should outline the timing and content of reporting to NYSERDA and how data will be made publicly available, and directly available to offshore wind energy developers and regulators, periodically and as quickly as possible following quality assurance and approval from NYSERDA.

Supplemental Environmental Data: If the proposer is presenting options for collecting Supplemental Environmental Data (see Section II, H above), the rationale for the collection of this data must be described. The proposed equipment deployed, and type, frequency and timing of the data collection must be described in the proposal such that the value is fully explained. Additionally, the proposer should describe how the work will be coordinated with any outside organizations, costs, total or in-part, associated with the collection, analysis and dissemination of this data may be included in the budget as either a direct cost to the proposer, or via a sub-contract with the lead research institution.

Project Management Plan and Qualifications (up to 5 pages + resume's)

Briefly describe the Project Management Plan at a high level that includes the Project Manager and all key personnel, along with their role in the project. List the organizations participating in the project, the contact for each organization and describe the role that each will play. (1 page)

Include an organizational Chart showing all key personnel and any subcontractors or other involved entities. (1 page)

Include a one-paragraph description of a sample of related projects that have been undertaken by the key personnel that demonstrates experience with the proposed project area. (up to 3 pages)

Include relevant portions of key personnel resume's that include education and experience relevant to the proposed work. (1 page each – not included in page count)

Master Schedule (1-2 pages)

Complete a schedule showing start and completion times for all major tasks, in terms of months after project initiation. Include planned meetings, major deliverables or milestones and other key events.

Contract Pricing Proposal Form (3-5 pages)

A total of up to \$5,000,000 is available to support this project. It is anticipated that the FLSS component will require approximately 90% of the available funding.

Complete the attached Contract Pricing Proposal Form for the entire project (Either FLSS or DMAC), including any in-kind contributions and other cost-sharing. Include any supplemental information necessary to fully understand the project on a separate sheet, including any deviations from what is requested and a rationale for the deviation. Care should be taken to provide sufficient information to allow reviewers to understand what each of the components (e.g. personnel, equipment, software, subcontracts).

Indirect Cost (Overhead) Rate(s)

Attach 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.

Letters of Support

If the proposer is relying on other organizations or businesses to perform work, provide services or equipment, data or share in the non-NYSERDA cost, include a letter from that organization or business describing the commitment. The absence of letters of commitment or support will be interpreted as the proposer not having commitment/support from those parties. (1-page each, not included in page count).

IV. Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. 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. The Evaluation Criteria below will be used to assess both the FLSS and the DMAC proposals as appropriate.

Qualifications, Experience and Management

Does the proposer have direct and relevant experience with this type of work? Does the proposer demonstrate an understanding of the state of the technology and offshore wind energy industry? How well has the proposer organized a management plan and a project team with the necessary technical, operations, and administrative experience for successfully completing the project? Is the balance of risk and cost reasonable? Does the proposer include strategic partnerships with other entities? Have letters of support from sub-contractors been included (if appropriate)?

Soundness of Methods, Design, Tasks and Schedule

How suitable are the proposed methods and design for meeting the project objectives? How comprehensive, realistic, and explicit are the project tasks with respect to the project objectives and timeline? Does the proposal follow the guidance and requirements provided? Is the proposed plan, well thought out, justified, and clearly presented? Are specific measurable targets of success or milestones provided where appropriate? How does the overall value of the proposed work compare to others? Does the proposal include Supplemental Environmental Data and if so, is it well developed, and does it provide value?

Cost Criteria

How competitive are the proposed services to other proposals? How justifiable and reasonable are the project overall costs in relation to the value? Is the level of effort appropriate? Does the duration of the deployment exceed two years? How justified and reasonable are the proposer's cost allocations? Is the overall cost per year, cost per activity and cost for alternatives (if appropriate) clearly delineated? Does the proposed approach consider how to maximize the value of the project? Does the proposal include Supplemental Environmental Data? Does the proposal include leveraging of other work and/or meaningful cost-sharing in some form?

Responsiveness of the Proposal

Is the proposal presented clearly? Does the proposal include all the relevant information to understand what is being proposed? Are project costs broken out to allow consideration of cost in relation to each activity? Does the proposal include all the required information? Does the proposal stay within the page limit guidelines?

NYSERDA reserves the right to accept or reject proposals based on the degree to which pricing and hourly rates are in line with the rest of the market. NYSERDA also reserves the right to negotiate any or all the options or approaches proposed by either the selected FLSS or the DMAC.

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.

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

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

NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

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

Contract Award - NYSERDA anticipates making two award(s) under this solicitation, one for the FLSS and one for the DMAC. NYSERDA anticipates contract durations of a minimum of two years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers within approximately six weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

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 – Proposed Program Component Checklist

Attachment B – Budget Form

Attachment C – Sample Agreement including Exhibit A - template statement of work

Innovation Advisory Services Program
Request for Proposals (RFP) 3859
\$750,000 Available

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

Proposals Due: June 28, 2018 by 5:00 PM Eastern Time*

Program Summary: Through this Request for Proposals (RFP), NYSERDA looks to build off the success of the first-year pilot to continue developing a distinguished Innovation Advisory Services Program that provides an opportunity for top tier management and technical talent to actively contribute towards the achievement of New York's energy and climate goals, and to the overall growth of the clean energy market within the state. As such, NYSERDA is seeking to secure the services of Innovation Advisors, which are business and technology experts with extensive experience in corporate management, entrepreneurship and startups, technology development and commercialization, early-stage investing, sales and marketing, and operational transformation. These Innovation Advisors will apply their substantial technology subject matter expertise and corporate and startup experience to assist NYSERDA's Technology and Business Innovation (TBI) department achieve its mission and goals through the development of impactful program strategies, implementation of processes to improve organizational effectiveness, advisement of staff and portfolio companies, and application of private industry best practices to TBI's operations. Innovation Advisors selected under this RFP will provide valuable advice to NYSERDA's TBI team during their term as well as gain unique experience in collaborating with a leading nationally recognized public benefit corporation focused on clean energy innovation and deployment.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

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

*** All proposals must be received by 5:00 PM Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note:

for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 5:00 PM Eastern Time, files in process or attempted edits or submission after 5:00 PM Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. INTRODUCTION

Over the past decade, NYSERDA’s Technology and Business Innovation (TBI) initiatives have been a key driving force in the growth of the clean energy market in New York State through their support for applied research, policy development, product development and demonstration, and business development. This support has contributed towards the market entry of numerous innovative clean energy products and has helped many emerging technology companies raise follow-on investment, secure critical partnerships, and attract customers/end-users. NYSERDA’s TBI department is made up of 35 experienced professionals across a wide variety of disciplines, including engineering, hard sciences, economics, and business. Most members of staff hold advanced or doctorate degrees, and typically have over 10 years of private sector experience. The department is organized into five groups, which represent TBI’s strategic priorities: Advanced Buildings, Clean Transportation, Renewable Optimization and Energy Storage Innovation, Smart Grid Systems and Distributed Energy Integration, and Technology to Market. TBI allocates its resources primarily towards applied research and technology development, with an emphasis on business development, commercialization, and market entry for the innovations that NYSERDA invests in and supports through its various programs.

NYSERDA recently reached an inflection point in its history represented by the launch of a 10-year, \$5.3 billion commitment to the growth of the clean energy market and achievement of ambitious energy and climate goals in New York State. This commitment, known as the [Clean Energy Fund](#), will guide NYSERDA’s operations and investments over the next decade. In response to the Clean Energy Fund, TBI is evolving its operations to maintain and amplify its significant contributions towards the growth of the clean energy market in the state. A key aspect of this evolution is continuing to improve the strategic approaches for identifying areas for investment and managing those investments while also maximizing the impact of the capital TBI is deploying to support clean energy technology and business development. To that end, and to assist in the development of new strategic and operational solutions, NYSERDA is seeking advisement services, on an independent contractor basis, from individuals that have substantial experience with corporate management, entrepreneurship and startups, technology development and commercialization, early-stage investing, sales and marketing, and operational transformation. Drawing from the collective experiences of such a resource will contribute directly towards the effectiveness of NYSERDA’s TBI department by applying corporate and startup best practices across all operations and through leveraging unique technical expertise. By bringing in outside perspectives from those who have an “ear to market”, it will strengthen NYSERDA’s ability to identify and respond to emerging investment opportunities and market needs. In addition, the reputation and deep networks of these individuals will provide external validation and more exposure for NYSERDA portfolio companies and TBI programs.

The Innovation Advisor program is itself a long-term commitment by NYSERDA and offers the opportunity for top tier management and technical talent to actively advise TBI strategy, the development of impactful program tactics, improvement of internal business processes, and the growth of NYSERDA staff and portfolio companies. Collectively, this will assist New York State in its pursuit to achieve ambitious energy, climate, and economic goals and the realization of NYSERDA’s Clean Energy Fund vision. Innovation Advisors are key collaborators who will interact with NYSERDA

executive management and staff, portfolio companies, program partners, and other key stakeholders throughout the state's clean energy market.

II. PROGRAM REQUIREMENTS

Eligibility and Proposer Requirements

NYSERDA Innovation Advisors will be established professionals with significant experience in corporate management, starting and scaling technology companies, and/or deep technical subject matter expertise. As such, Innovation Advisors must have the following qualifications:

- Demonstrated experience in issues related to corporate management, entrepreneurship and startups, technology development and commercialization, early-stage investing, sales and marketing, and operational transformation;
and/or
Demonstrated deep subject matter expertise in a technical discipline which is relevant to New York State's clean energy market.
- Demonstrated ability to establish, grow, and manage new businesses or business units within a corporate environment.
- Demonstrated ability to lead diverse teams and affect operational and/or cultural change within a large organization.
- Demonstrated ability to develop relationships with key stakeholder groups, including private market actors and governmental agencies at the federal and state levels involved in innovation and research.
- Strong project and people management skills and the ability to successfully multi-task, set priorities, and meet deadlines in a dynamic environment.
- Top-notch writing, presentation, and interpersonal skills that resonate with audiences of different backgrounds; the ability to communicate persuasively, concisely, and unambiguously in speech and in writing.
- Ability to be a self-starter and function well, both independently and in teams.

Minimum educational requirements include:

- A Bachelor's degree in engineering or engineering management; physical, chemical, or biological sciences; finance, law, business, economics, or entrepreneurship; and a minimum of 15 years of relevant experience;
or
An unrelated Bachelor's degree and 20 years of relevant experience as noted above.

Preference will be given to those candidates that possess:

- A proven record of experience working with highly technical entrepreneurs and early-stage companies developing disruptive innovations.
- A proven record leading large operational transformation efforts within established organizations.

NYSERDA reserves the right to independently verify any qualifications, experience, or other relevant information provided in the proposal.

Available Funding and Cost Sharing

Up to \$750,000 of NYSERDA funding is available through this RFP. NYSERDA anticipates making two to six awards under this solicitation. All, some, or none, of the available funds may be awarded through

RFP 3859. NYSERDA reserves the right to add or reduce time and/or funding to awarded contract(s). No cost sharing is required for this solicitation.

Range/Scope of Services

An applicant to this RFP will provide advisory services on a part-time basis as an independent contractor and will assist with the overall development, implementation, and management of TBI strategy, tactics, and investments. This may include but is not limited to specific contributions towards the following:

- Ongoing programmatic support for various initiatives, including assistance in the design, development, launch, and management of TBI programs;
- Direct advisement and ongoing consultation with NYSERDA portfolio companies;
- Assessment and adjustment of the solicitation, proposal evaluation, project selection, project management, and portfolio management processes across TBI;
- Dissemination of cutting edge technology and market trends to staff to better inform program design and development;
- Research and evaluation of best practices/benchmarks at similar institutions and development of recommendations for consideration and execution;
- Engagement with staff and portfolio companies during project selection, design, and management;
- Development and implementation of new processes/mechanisms to accelerate the level of technology, commercialization, and investor readiness of portfolio companies from award through project management;
- Contribute towards other internal business process improvements; and
- Perform other yet-to-be defined responsibilities as requested.

Each contract will have an initial term not to exceed 12 months. Awarded contracts may be extended at NYSERDA's sole discretion if significant value is provided and/or the awardee outperforms. Following the initial due date, submissions will be accepted and assessed by a Scoring Committee based on the best overall value to NYSERDA. The Scoring Committee will consider: uniqueness of qualifications, potential impact on TBI operations and investment performance, and potential of the Innovation Advisor to address/fulfill identified departmental and portfolio needs. More information on the proposal evaluation criteria is provided in Section IV. NYSERDA may in exceptional circumstances and in its sole discretion, increase the award amount and/or adjust required hours of service per week for unique or outstanding applicants with demonstrated qualifications. NYSERDA recognizes that applicants may be seeking assignment as an Innovation Advisor on a sabbatical basis from their current employer. Therefore, consideration will be given to those potential candidates that provide cost share or employer provided sponsorship (e.g., not-for-profit supplemental stipend) that offset total costs to NYSERDA.

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 Submission Requirements of Section III, or the General Conditions of Section V.
- Performance of awarded projects will be assessed on a continuous basis in order to ensure the Innovation Advisor is meeting their commitments and achieving the milestones laid out in the Statement of Work.

III. SUBMISSION REQUIREMENTS

Applicants are encouraged to proactively identify advisory topics (to the best extent possible) that would benefit NYSERDA, portfolio companies, program partners, and other stakeholders in New York State's clean energy market. NYSERDA will identify specific assignments and establish a customized Statement of Work with each Innovation Advisor based on individual qualifications and current organizational needs.

Submissions should concisely and clearly demonstrate the applicant's expertise and accomplishments and how they relate to the requirements of this RFP for the Innovation Advisory Services Program. Submissions should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a submission's standing per the evaluation criteria. The applicant should provide the following:

1. **Narrative Statement of Qualifications (Attachment A; 3-page limit)**
The narrative statement serves as the "cover letter" of the submission and will describe the applicant's professional history, qualifications, accomplishments, and other relevant background information. Applicants should consider TBI's investment approach and strategic priorities and describe how their expertise could be leveraged in pursuit of department goals.
 - a. Professional history and accomplishments to date;
 - b. Motivation and rationale for seeking to serve as a NYSERDA Innovation Advisor;
 - c. How past professional experience or areas of expertise could be leveraged to benefit NYSERDA TBI's strategy and operations; and
 - d. Other relevant information the applicant wishes NYSERDA to consider.
2. **Resume/Curricula Vitae (Attachment B; 2-page limit)**
3. **Cost Proposal (Attachment C; 1-page limit)**
 - a. Applicant availability and proposed hours per week. With respect to physical location, preference is to have all Innovation Advisors awarded through this RFP be physically embedded at NYSERDA's Albany office. However, other arrangements may be considered, including a split between Albany and other locations. Applicants should describe geographic constraints, proposed location of service, and their ability to be equally as effective if not physically embedded at NYSERDA's offices.
 - b. Cost proposal providing proposed hourly billing rate and overall contract value. Billing rates should not exceed the rates charged by the applicant to other existing current clients. Applicants will be required to provide justification for proposed hourly billing rates during the contract negotiation period (post award notification).
4. **References and Conflict(s) of Interest (Attachment D)**
 - a. Provide three professional references, with contact information, from current or past colleagues, customers, clients, or others who support the applicant's submission and have direct experience working with the applicant over a sustained period of time.
 - b. For potential conflicts of interest, to the best of the applicant's knowledge, identify any involvement the applicant has or has had with NYSERDA portfolio companies, both direct recipients of funding, or indirect recipients of support (e.g., incubator clients/graduates, proof-of-concept center teams/alumni, entrepreneur-in-residence program clients, 76West winners, etc.) Identify all other potential issues or conflicts of interest.

Attachment C, Project Personnel and Rate Form, is provided to applicants for the Cost Proposal. The other items required for a complete submission – Narrative Statement of Qualifications,

Resume/Curricula Vitae, and References and Conflict(s) of Interest – are not provided to applicants by NYSERDA. Applicants should provide their own documentation for these attachments, mark the documents with the appropriate attachment letter (A, B, and D, respectively) for this solicitation, and include them with their submission.

Procurement Lobbying Requirements

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

IV. PROPOSAL EVALUATION

Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria, listed in order of importance. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or provide clarifications to information 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. A proposer receiving a favorable evaluation 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, and may also be asked to address specific questions or recommendations of the Scoring Committee prior to any contract award.

Evaluation Criteria

Experience and Qualifications

- Does the applicant's training, experience, or qualifications meet the requirements of the Innovation Advisory Services Program, as specified in this RFP?
- Has the applicant provided appropriate documentation showing required experience or qualifications?
- Are the applicant's qualifications relevant given the strategic and tactical approach envisioned for NYSERDA's TBI department?
- Does the applicant's qualifications and expertise address NYSERDA's needs and is it likely to help advance the growth of the clean energy market in New York State?

Cost Proposal

- Is the availability and billing rate reasonable given the applicant's qualifications and current engagements?
- Is the applicant's availability sufficient to accomplish the stated goals of the engagement?

References

- Are the references from experienced, well-established individuals who understand and are deeply familiar with clean energy innovation and technology commercialization?
- Are the references able to provide clear and compelling examples of the applicant's ability to be an effective Innovation Advisor?

General Criteria

- Does the submission include all required elements?

- Overall, is the submission professionally prepared, reasonable, and likely to positively impact NYSERDA's strategy and operations?

Other Considerations

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

- 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.
- Duplication of other proposed or awarded projects.
- The degree to which pricing and hourly rates for services are in line with the rest of the market.
- Track record and previous performance of proposer(s).
- The degree to which the proposer's skills and background align with TBI program needs.

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.

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State Finance Law sections 139-j and 139-k

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

Tax Law Section 5-a

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

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

Contract Award

Up to \$750,000 of NYSERDA funding is available through this RFP. NYSERDA anticipates making two to six awards under this solicitation. All, some, or none, of the available funds may be awarded through RFP 3859. Contracts will be structured as time-and-materials. NYSERDA anticipates a contract duration of 12 months with the option to add time and/or money to contracts for high-performing Innovation Advisors that exceed expectations. Funding allocated for this RFP may also be used for support services that are directly related to the Innovation Advisory Services Program. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA may at its discretion elect to extend and/or add funds to any contract funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately eight weeks from the proposal due date whether 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.

Accessibility Requirements

If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA

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

Limitation

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

Disclosure Requirement

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

VI. ATTACHMENTS

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

- Attachment A - Narrative Statement of Qualifications (template not provided)
- Attachment B - Resume/Curricula Vitae (template not provided)
- Attachment C - Project Personnel and Rate Form (template provided)
- Attachment D - References and Conflict(s) of Interest (template not provided)

The following attachment is provided as a reference document for applicants:

- Attachment E - Sample Agreement



Pay for Performance Advanced Measurement and Verification Solution Request for Proposal (RFP) 3901

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

Proposals Due: September 17, 2018 by 3:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals to design, build, and administer an Advanced Measurement and Verification (AMV) Solution to support the successful implementation of outcome-based approaches to energy efficiency in New York State (NYS), with a primary focus on calculating weather-normalized metered energy consumption (NMEC) energy savings for a Pay for Performance (P4P) initiative. These NMEC savings calculations will be used as the basis for payments to compensate energy efficiency outcomes generated by project aggregators in a P4P pilot scheduled to commence in 2019. NYSERDA anticipates awarding an initial four-year term, extendable up to an additional 5 years. Upon award, NYSERDA anticipates arranging an initial planning meeting to discuss and arrive at a final Statement of Work.

The selected firm(s) will be responsible for clearly communicating and visualizing savings and portfolio outcomes in a secure, transparent Business Intelligence (BI) dashboard accessible to NYSERDA, Utility Administrators, and Aggregators. The firm contracted to perform these services will be designated as the Advanced Measurement and Verification (AMV) Solution Provider. Unless otherwise agreed to or specified by NYSERDA, the AMV Solution Provider will use the CalTRACK methodology¹ and monthly, hourly, and/or other interval electric and natural gas consumption data provided by Utility Administrators to analyze, aggregate, and present project, portfolio, and pilot performance data.

NYSERDA encourages and will consider partnership approaches if there is one proposing/contracting entity responsible for all requirements of this RFP and that entity clearly defines organizational roles while demonstrating the benefits created by the partnership. Partnerships could include one firm specializing in savings calculations and methods while another specializes in data visualization.

Informational Q&A

Proposers should submit all formal questions to Kyle.Monsees@nyserda.ny.gov with the header "P4P AMV RFP: Solicitation Questions- *Proposing Entities Name*". NYSERDA will accept questions regarding this solicitation until **Monday, August 27 at 3 p.m. EST**. Responses to all questions will be provided on a publicly facing page on NYSERDA's website on **Friday, August 31 by 5 p.m. EST**. All questions will be posted anonymously. NYSERDA's written responses will supersede any content provided within this solicitation.

¹ <http://docs.caltrack.org/>



Proposal Submission

Proposers should complete and submit Attachment J- Intent to Propose to Kyle.Monsees@nyserda.ny.gov with the email header "AMV Solution RFP: Intent to Propose - *Proposing Entities Name*" no later than Tuesday, September 4 at 3 p.m. EST if they intend to submit a response to this solicitation.

Online submission is preferable. Proposers may submit Word, Excel, or PDF files (other acceptable file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 25MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](#) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Kyle Monsees (Designated Contact) at (518) 862-1090, ext. 3525 or kyle.monsees@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or Nancy.Marucci@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by NYSERDA by 3pm Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3pm Eastern Time; files in process or attempted edits or submission after 3pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website: <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>

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Introduction

Pay for Performance (P4P) initiatives have emerged nationally as developing policy reforms, utility commitment to Advanced Metering Infrastructure (AMI) and smart interval meters, and advancements in data analytics allow for the use of meter-based energy savings measurement. These technology shifts potentially enable innovation and new business models to achieve larger-scale savings, attract additional investment, and encourage energy efficiency by providing additional value across a broader range of NYS consumers.

New York's P4P initiative² will pilot a measure-agnostic and flexible framework for procuring energy efficiency savings by making payments to aggregating entities ("Aggregators") in installments after energy efficiency improvements have been made and energy savings have been achieved on a portfolio of projects. Payments will be determined by utilizing a standardized methodology for the measurement of energy savings using NMEC data from various energy efficiency interventions including equipment upgrades, building retrofits, and behavioral, operational, and retro-commissioning activities. This strategy will allow for the monetization of energy efficiency performance benefits at the portfolio level and will shift energy procurement payments closer to when energy savings occur. Lessons learned from the P4P pilot implementation will be used as an input to improve and scale P4P.

NYSERDA and Utility Administrators will launch a joint pilot to support market adoption of this framework. To support the NYS P4P pilot, NYSERDA seeks proposals to design, build, and administer a software solution to calculate NMEC savings that will be used as the basis for savings claims and payments within the P4P pilot. For a list of all business requirements the selected AMV Solution Provider will be required to meet, please see Attachment A - Pay for Performance Requirements Traceability Matrix.

Goals and Objectives

The P4P pilot aims to achieve the following goals and objectives aligned with Governor Andrew M. Cuomo's comprehensive energy strategy for New York: Reforming the Energy Vision (REV):

- 1) Create a framework for scaling participation in outcome-based energy efficiency initiatives
- 2) Enable Aggregators and contractors to implement innovative and flexible business models that provide customer value
- 3) Leverage a standardized, transparent, and credible methodology for calculating energy efficiency savings in NYS to:
 - Allow utilities to value energy efficiency as a distributed energy resource
 - Allow Aggregators and project financiers to reliably predict portfolio performance and assign a transparent value to units of reduction in energy consumption
- 4) Minimize administrative, transactional, and other soft costs for NYSERDA, utilities, and Aggregators

² Investment Plan is pending approval with the Department of Public Service.

To accomplish these goals, the AMV Solution Provider and their software must be capable of, and will be responsible for (See Attachment A):

- Connecting to project, utility usage, and weather data (via API, etc.) from multiple sources including utilities, Aggregators, NYSERDA, and NOAA weather stations
- Performing Extraction, Transformation, and Loading (ETL) of data, including validating data sufficiency and matching records to appropriate project sites
- Calculating achieved NMEC savings aligned to the latest CalTRACK methods to enable, at minimum, quarterly performance payments to participating Aggregators
- Providing authorized users with access to data via a self-service platform that includes tools allowing businesses to examine and communicate the performance and predictability of their projects and portfolios.

NYSERDA anticipates that some results from the AMV Solution will be anonymized and presented publicly to provide market participants and stakeholders with valuable performance data.

Minimum Mandatory Requirements for NMEC Savings Calculations

The AMV Solution Provider shall use the current version, as agreed to by NYSERDA, with input from the Utility Administrators, of the CalTRACK methodology to calculate NMEC savings for the duration of the NYS P4P pilot. The AMV Solution Provider will incorporate all subsequent updates to the CalTRACK standardized methods within 90 days of confirmation by NYSERDA to adopt the revised standard.

NYSERDA retains the right to customize its use of the CalTRACK methodology to meet NY specific needs, to forgo adopting subsequent updates made to the CalTRACK methodology, and, if through empirical testing the CalTRACK methodology is deemed to be inadequate for supporting P4P in NYS, to adopt additional standards to supplement the CalTRACK methodology. Any significant changes required to the AMV Solution as a result would be negotiated between NYSERDA and the AMV Solution Provider.

The AMV Solution shall use calculation source code consistent with the CalTRACK open methods framework for all NMEC calculations. To demonstrate clear and strict compliance with the CalTRACK methodology, the AMV Solution Provider shall make all source code relevant to the core NMEC calculation methodology, with detailed commenting, available to NYSERDA for public distribution³.

The AMV Solution shall have the ability to make all datasets (including consumption data, project data, AMV Solution outputs, etc.) and any assumptions or choices made while processing the data available to any independent third party designated by NYSERDA, with input from the Utility Administrators. The data provided shall be adequate to validate the NMEC savings calculations generated via the AMV Solution using another implementation of the CalTRACK methodology or another methodology. This requirement is designed to ensure the transparency and replicability of the core NMEC savings calculations that will determine the outcome-based payments in the P4P pilot. This will be key in advancing energy efficiency markets, instilling confidence in a single standard for calculating energy efficiency outcomes and minimizing disputes regarding payable savings outcomes in a P4P structure.

³ To be considered publicly distributed, the source code must be, at a minimum, accessible on a public website in a read only format. This does not require that an open source license be provided with the published source code.

Responses to this solicitation should clearly articulate what components, at minimum by general category, of the proposed AMV Solution leverage code that is open source, proprietary but publicly available for inspection, proprietary confidential, and proprietary third-party. If the status of any component is anticipated to change, whether as a result of this solicitation or an external factor, please note what the anticipated change will be.

P4P Pilot

The P4P pilot is planned to consist of three Phases of annual procurements with at least two Utility Administrators. The first Phase is targeted to include two utilities; Niagara Mohawk Power Corporation d/b/a National Grid (“National Grid”) and Consolidated Edison, for a selected group of single family (1-4 units) residential projects and small-to-medium commercial (SMC) projects respectively.

Aggregators will be selected to participate through a separate competitive solicitation at a later date. Aggregators will assemble project portfolios only in a designated utility service territory as stated in the competitive solicitation. Aggregators generally will not be limited in what energy efficiency measures or business models they offer or use. The projects that make up the portfolios will be loaded into the AMV Solution where NMEC savings will be calculated for each portfolio in accordance with the requirements outlined in Attachment A.

It is anticipated that Aggregators will have approximately two years from their onboarding with the relevant Utility Administrator to engage with customers and build their portfolio of projects (Aggregator Implementation Period). Aggregators and/or Utility Administrators will obtain customer authorization to receive utility usage records, execute energy efficiency interventions, and upload project data to the AMV Solution. Aggregators and/or their contractors will upload project data on an ongoing basis, and utility data will be transferred by the Utility Administrators to the AMV Solution. Payments to Aggregators could begin as soon as one quarter after the project implementation is complete. Subsequent payments to Aggregators may occur on a monthly or no less than quarterly basis, until the end of the Aggregator’s performance contract. All performance contracts are anticipated to be for a period of up to five years from the date of portfolio completion. While the AMV Solution will calculate the size of these payments, payment issuance will be performed by Utility Administrators.

As noted in Attachment A, NYSERDA recognizes that adjustments to portfolios may be necessary as events occur at project sites beyond the control of all participating stakeholders (e.g. a change of facility owners, addition of unrelated, energy consuming equipment, etc.). The AMV Solution Provider will be responsible for administering these adjustments, and the successful bidder will be expected to advise on an approach to adjusting portfolios.

In future Phases (Phase Two and/or Phase Three), customers utilizing solar onsite generation, electric vehicles, and/or alternative heating fuel sources (propane, heating oil, etc.) may be included in the portfolio if the Aggregator can provide sufficient production and/or usage data in a standard format to account for the change in energy consumption. The successful bidder will be expected to make recommendations on standard data formats to be used and to modify the AMV Solution as needed.

Project Scope

Please see Attachment B- P4P High Level Process Flow for a diagram of work flows the AMV Solution Provider will be responsible for enabling. For an overview of the anticipated P4P timeline, please see Attachment K- P4P Milestone Timeline.

Anticipated P4P Pilot Phase Schedule and Estimated Parameters

Please refer to the table below for Pilot Phase information. Please note that all numbers provided are assumptions and are subject to change. Proposers should only use this table as a rough guideline in estimating scope of work and budget.

	Pre-launch Activities⁴	Aggregator Implementation Period	Estimated Number of Residential Aggregators	Estimated Number of Small & Medium Business Aggregators	Estimated Number of Residential Projects	Estimated Number of Small & Medium Business Projects	Estimated Number of Utility Administrators
Phase One	2018	2019-2021	1 to 3	1 to 3	1000	675	2
Phase Two	2019	2020-2022	2 to 4	2 to 4	2000	1500	3
Phase Three	2020	2021-2023	3 to 5	3 to 5	4000	3000	3

⁴ As described in the section *Statement of Work*, the AMV Solution Provider will make any necessary modifications to the software, such as updates to the code to accommodate changes in the CalTRACK methodology, as well as aid NYSERDA in making other necessary adjustments to the pilot before the launch of each Phase of the pilot.

Proposers should provide details regarding additional features of their proposed AMV Solution that could provide value to NYSERDA and the market.

During the contract term resulting from this solicitation, NYSERDA may request additional related services including, but not limited to, support for NMEC savings calculations and visualization for other NYSERDA and/or Utility Administrator initiatives, including other NYSERDA-run residential and commercial initiatives, evaluation tools for assessing the performance of the P4P pilot and its participants, performance management tools for informing contractors operating in NYSERDA initiatives of the performance of their energy efficiency projects, and/or a customer targeting tool for optimizing results from the P4P pilot and/or other NYSERDA initiatives.

Should NYSERDA request additional services from the AMV Solution Provider, a budget will be negotiated at that time. The negotiated budget will use the hourly rates contracted as part of this solicitation.

Security Requirements

To be considered for award, the AMV Solution Provider and all components of the AMV solution must meet the requirements of NYSERDA's policies listed below (See Attachment A):

- Data Classification and Security Controls: The awardee shall adhere to requirements outlined in Attachment C- NYSERDA External Contractors Data Classification and Security Controls Policy.
- The awardee shall meet NYS Information Security Policy NYS-P03-002. The NYS Information Security policy details are available at: https://its.ny.gov/sites/default/files/documents/nys-p03-002_information_security_0.pdf
- The solution developed by the awardee must meet NYS-P08-005 Accessibility of Web-Based Information and Applications Compliance Reporting. The NYS Accessibility Requirement details are available at: https://its.ny.gov/sites/default/files/documents/nys_p08-005_memo_09102010.pdf. The solution must also comply with the Web Content Accessibility Guidelines (WCAG) 2.0 AA: <http://www.w3.org/TR/WCAG20/>.
- The awardee shall meet NYS policy NYS-S15-002 Enterprise Vulnerability Scanning. The NYS Enterprise Vulnerability Scanning details are available at: https://its.ny.gov/sites/default/files/documents/nys-s15-002_vulnerability_scanning_1.pdf

The AMV solution must also meet the requirements found in Attachment D- Joint Utilities Data Security Agreement and fill out and submit Attachment E- Self-Attestation of Information Security Controls.

As participating Utility Administrators are confirmed, the AMV Solution Provider will also meet the data security requirements posed by those Utility Administrators and will be responsible for completing any required Utility Administrator documents regarding security controls and risk posture.

To meet all the security requirements listed in *Security Requirements* and Attachment A, the AMV Solution Provider should leverage the National Institute of Standards and Technology (NIST) Special

Publication (SP) 800-53⁵, which contains standardized technical and non-technical security and privacy controls.

Anticipated Awards

NYSERDA anticipates awarding an initial four-year term, extendable up to an additional 5 years. Upon award, NYSERDA anticipates arranging an initial planning meeting to discuss and arrive at a final Statement of Work.

Submitting a Proposal

The total length of the proposal shall be no more than 30 pages (excluding all attachments, diagrams, the Scope of Work, tables, schedules, and resumes. The proposal must include all the following sections, in order:⁶

- Section 1- Executive Summary and General Information
- Section 2- Objective and Approach
- Section 3- Statement of Work
 - Including Tasks 1-10
- Section 4- Management Plan/Schedule
- Section 5- Project Personnel Staffing Plan
- Section 6- Budget/Rates
- Section 7- Examples of Similar Work (two examples with references)
- Section 8- Additional Services

Proposers must follow the requirements below for each section and must include all sections for their proposal to be considered.

Information submitted to NYSERDA that the Proposer wishes to have treated as proprietary or confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure (see General Conditions section).

While preparing Section 2- Objective and Approach and Section 3- Statement of Work, proposers should review the business requirements of the P4P AMV Solution as outlined in Attachment A: Pay for Performance Requirements Traceability Matrix. Proposers must address each requirement included in Attachment A by documenting what functional features of the proposed AMV Solution fulfill each of the business requirements outlined. Proposers should include this documentation in Attachment A and submit this document as an attachment to proposals. Proposers should reference Attachment A in their responses in Section 2 and Section 3 instead of duplicating provided information, where appropriate.

⁵ <https://nvlpubs.nist.gov/nistpubs/specialpublications/nist.sp.800-53r4.pdf>

⁶ Note that Section 3 includes 10 separate Tasks, each of which should be separately addressed.

Section 1 - Executive Summary and General Information

The Proposer must include the following information in their response:

- Firm or organization name
- Identification of any subcontractors and/or partners that are part of the proposal, and general comments regarding what their role would be
- Address
- Telephone number
- Primary contact person telephone and e-mail address

Section 2 - Objective and Approach

Proposals should state the proposer's understanding of the objectives and scope of work. All proposals should be crafted to address NYS specific opportunities and challenges and should be presented in a NYS specific context.

Proposers should clearly articulate how their proposed solution meets each of NYSEERDA's needs in this RFP and specify which needs can be met with off-the-shelf offerings versus configuration or development work. Proposers should also state if their solution requires the use of third-party software and provide appropriate information and links to content related to the third-party software. The purchase and cost of third-party software should be made clear in the cost proposal.

Proposers should confirm their ability to use source code consistent with the CalTRACK open methods framework for all NMEC calculations. Proposers should also confirm their ability to make all source code relevant to the core NMEC calculation methodology, with detailed commenting, available to NYSEERDA for public distribution. If Proposers have experience participating in the CalTRACK Technical Working Group, testing the CalTRACK methodology, or leveraging the CalTRACK methodology, details should be provided.

The Proposer should confirm their ability to meet all NYSEERDA and participating utility security requirements. The Proposer should detail the basic architecture used to comply with the security requirements outlined in this solicitation, as well as state any other relevant information pertaining to data governance and security that does not appropriately fit into their response to Attachment A.

If the Proposer is not located in NYS, the proposer should detail how they will sufficiently deliver cost effective services within NYS. The Proposer should highlight key challenges in achieving the project objectives and indicate how the proposer intends to address them. Proposers are invited to highlight any key project issues that may not have been identified in this solicitation.

The AMV Solution Provider should propose a training plan detailing the number of trainings and curriculum required to enable NYSEERDA, Utility Administrators, and Aggregators to effectively leverage the AMV Solution, including the BI dashboard. Proposers should include a high-level, draft training plan, including mode of delivery for each training (e.g. classroom, webinar, videos, additional documentation, etc.), as part of their response to this solicitation.

Section 3 - Statement of Work

The following is the proposed Statement of Work including all tasks and deliverables anticipated for this effort. These tasks will be used as the basis for the draft Agreement between NYSERDA and the awardee. Please include the below statement of work in your proposal and identify any additional tasks if needed.

The following tasks are requested, along with their corresponding deliverables:

Task 1: Project Management

The AMV Solution Provider shall develop, in concert with a joint project management organization with membership from Utility Administrators and NYSERDA, a project management plan that encompasses all activities undertaken tracked against a milestone-based timeline. The plan should include the following elements as they relate to interactions with NYSERDA and the Utility Administrators:

- Software Development Life Cycle methodology
- Communications Plan
- Scope Management Plan
- Time Management Plan
- Resource Management Plan
- Risk Management Plan
- A high-level milestone roadmap/timeline
- Work Breakdown Structure, User Story Backlog and Sprint structure, or similar industry standard expression of project scope, timeline, and resource allocation
- Project status dashboard stating project status, issues, and action items forming the basis for regularly scheduled conference calls

The awardee will integrate this project management plan with a larger project management methodology determined by NYSERDA that includes other project stakeholders.

Deliverables:

- Project management plan

Task 2: Project Kick-Off and Project Work Plan Finalization

The AMV Solution Provider will prepare a project kick-off meeting agenda and lead a discussion including the following topics:

- The project goals and objectives, project management process, and roles and responsibilities
- The proposed technical and data architecture diagrams, including all databases and corresponding Entity Relationship Diagrams (ERDs), data interfaces, network infrastructure, and proposed software development architecture (including any API's, middleware, source control, or other relevant tools)
- The ongoing logistics of coordinating project details, priority issues, open action items, and next steps
- The project schedule, including clear timelines for deliverables and major milestones, including weekly check-in meetings to measure progress against the work plan.

Deliverables:

- A kick-off meeting agenda
- A draft project work breakdown structure, including schedule and resource allocation
- A draft technical architecture diagram, including all interfaces and proposed software development architecture
- A draft data architecture diagram expressed as an ERD, or equivalent industry standard best practice

Task 3: Stakeholder Requirements Gathering

The Proposer shall elaborate on the business requirements outlined in Attachment A - Pay for Performance Requirements Traceability Matrix to produce the technical, security, data interface, and all other related functional requirements for the AMV Solution. The awarded AMV Solution Provider will work with NYSERDA, Utility Administrators, and Aggregators, as applicable, to understand the existing technical architectures of all stakeholders, especially as they pertain to data storage and transfer, to ensure that the AMV Solution integrates with the existing enterprise architecture of NYSERDA and the Utility Administrators. The AMV Solution provider should be capable of accepting and integrating feedback from participating stakeholders on an on-going basis, as approved by NYSERDA, to improve and streamline the data integration process to reduce the administrative burden placed on pilot participants. Following this, the AMV Solution Provider will be responsible for finalizing robust technical documentation, including Interface Control Documents (ICDs), outlining how data will be exchanged between all project stakeholders in accordance with the requirements outlined in Attachment A and in accordance with any/all other requirements that are part of this task.

Deliverables:

- Finalized list of functional requirements that can meet the business requirements in Attachment A: Pay for Performance Requirements Traceability Matrix and any additional requirements uncovered during Task 3
- Technical infrastructure, including ICDs, and data architecture diagrams

Task 4: Construction of Technical Infrastructure and Data Extraction, Transformation, and Loading (ETL)

The AMV Solution Provider shall build out the information architecture required to receive, transform, store, combine, and transfer the data sets outlined in Attachment F - P4P Data Sets in accordance with the requirements outlined in Attachment A. An ICD must be prepared for each data connection between the AMV Solution and systems operated by Aggregators, Utility Administrators, and NYSERDA.

The core components of the architecture should, at a minimum, include a method for importing, transforming, and exporting data from Aggregators, Utility Administrators, and NYSERDA, a database(s) for storing data, and an analytics engine for calculating NMEC savings.

The AMV Solution Provider shall provide a secure storage instance for the P4P pilot, where customer, project, and energy consumption data will be loaded once transferred from Aggregators, Utility Administrators, NYSERDA, and/or electronic customer intake forms in accordance with the security and privacy controls outlined under the section *Security Requirements* and in Attachment A. A data

dictionary shall be constructed and maintained by the AMV Solution Provider documenting all database fields and, where applicable, any parameters or metadata.

The AMV Solution shall allow Aggregators and/or Utility Administrators to include, as part of a Pilot Participant record, proof of authorization from the Pilot Participant for sharing their utility data with the Aggregator, NYSERDA, and the AMV Solution Provider; this proof may be a .PDF file, a URL pointer to a signature record, or a similar form of documentation. This centralized storage of authorization records should create a single source of truth regarding customer permissions for Aggregators, Utility Administrators, and NYSERDA.

Project data should be evaluated, and a parser(s) should be used to prepare the data for processing. The AMV Solution Provider will designate a single point of contact responsible for the oversight of data aggregation and data quality.

Prior to or in support of performing NMEC savings calculations, all records must be assessed for pilot sufficiency of data and metadata and the results documented in an activity log, or similar format, demonstrating the sufficiency or insufficiency of records as the case may be. Data sufficiency checks and cleaning shall achieve an acceptable level of data quality that aligns with the CalTRACK methodology and any additional standards required by NYSERDA and the Utility Administrators that do not directly conflict with the CalTRACK methodology. The AMV Solution Provider will be responsible for proactively working with the necessary parties to resolve any data sufficiency issues.

All parsers developed to clean the data should also be well documented, and the AMV Solution Provider will facilitate a code walkthrough and explanation of parser functionality to NYSERDA and Utility Administrators upon request. The data push or pull from all sources (Utility Administrators, Aggregators, etc.) must be performed on a weekly basis as new projects are completed and additional data is made available (unless another interval is specified in Attachment A or agreed to by NYSERDA and the AMV Solution Provider).

Any necessary changes to the ETL process should be documented. During the completion of this task, all assumptions and choices made where the CalTRACK methodology does not provide strict guidance should be well documented and made publicly available as directed by NYSERDA, with input from the Utility Administrators.

Deliverables:

- Technical environment platform deployment, with data-sharing and network infrastructure connections
- Parsing scripts and/or ETL of foreign data sources into AMV Solution persistence layer
- Documentation of all custom parsers created
- Documentation of unit-level code comments
- Data Sufficiency and Data Cleaning report (updated, at minimum, weekly)
- Documentation that database is accessible and secured in accordance with NIST SP 800-53
- Data dictionary created, with ongoing maintenance

Task 5: Analytics and Meter Calculations

The AMV Solution Provider will be responsible for testing and validating the savings calculation component of the solution, with rigor of testing and final approval being determined by NYSERDA, with input from the Utility Administrators.

The AMV Solution Provider should keep a record of any projects dropped from an Aggregator's portfolio as well as the reason for exclusion.

The AMV Solution Provider shall consult with NYSERDA and Utility Administrators to determine metadata fields to be collected by Aggregators. The AMV Solution Provider will also be responsible for working with Utility Administrators and Aggregators to develop standardized electronic intake forms and data interfaces (i.e. APIs, etc.) to efficiently collect project data.

During the completion of this task, all assumptions and choices made where the CalTRACK methodology does not provide strict guidance should be well documented and made publicly available by the AMV Solution Provider as directed by NYSERDA, with input from the Utility Administrators. In addition, all metadata relevant to the calculation of energy savings will be documented and shared with NYSERDA and, as relevant to portfolios compiled in their territories, the Utility Administrators.

Deliverables:

- Demonstration of construction and testing of core technical components required to process data and produce energy savings
- Public documentation of all assumptions and choices made where the CalTRACK methodology does not provide strict guidance

Task 6: Business Analytics Dashboard and Data Visualization

The AMV Solution Provider shall provide authorized users access to data via a robust business intelligence (BI) suite suitable for investment and actuarial analysis. This BI suite should provide users the ability to view, manipulate, and compare portfolio and project performance data through filters, pivot tables, and a variety of other drilldown and visualization tools. The AMV Solution Provider shall design and develop the BI dashboard per the business requirements defined under Attachment A and as gathered during Task 3.

The AMV Solution Provider shall meet all the requirements outlined in Attachment G-NYSERDA Web Design Process.

The dashboard must be accessible by the following parties with role-based secure accounts. These accounts will not have access or permissions beyond those stated below unless otherwise specified by NYSERDA, with input from Utility Administrators:

- **NYSERDA:** NYSERDA will have access to query, view, and download all pilot data, including project package data, NMEC savings calculations, etc., from each Aggregator portfolio. NYSERDA should also have the ability to flag records for further inquiry and to append additional information to records
- **Utility Administrators:** Utility Administrators will have access to query, view, and download all data associated with projects from Aggregator portfolios generated within their territory. Utility

Administrators should also have the ability to flag records for further inquiry and to append additional information to records

- Aggregators: After NYSERDA has received confirmation that agreements are in place between the Utility Administrators and contracted Aggregators, Aggregators will have access to query and view all data associated with projects within their portfolio. To enable Aggregators to perform additional analytical work, NYSERDA may also grant Aggregators the ability to download certain data elements, within the terms of the customer consent agreements. Aggregators should also have the ability to flag records for further inquiry and to append additional information to records.

Aggregator performance will be evaluated on a portfolio level, but the BI solution shall provide access to key metrics and filters as outlined in Attachment A.

In accordance with Attachment A, Business Intelligence products developed within the AMV Portal shall be able to be exported in a Microsoft Excel or similar industry standard workbook format for exposure and publication to third-party stakeholders who may have their own data modeling and visualization needs. For example, Aggregators shall be able to construct exportable summary reports for their stakeholders, including Contractors, financial institutions, insurers, etc.

The AMV Solution Provider will be responsible for testing the functionality of the BI solution. The AMV Solution Provider shall also coordinate a User Acceptance Test (UAT) to assess the dashboard functionality with NYSERDA, with input from Utility Administrators.

Deliverables:

- Access to meter outputs through data visualization tool accounts for appropriate users
- Documentation of UAT and modifications based on feedback from users

Task 7: Technical Support, Product Support, and Training

The AMV Solution Provider will provide ongoing technical support, troubleshooting, general product support, operations, and maintenance related to the AMV Solution for the duration of the agreement.

As Aggregator portfolios are created, the AMV Solution Provider will calculate NMEC savings and associated outputs on an on-going basis.

The AMV Solution Provider will deliver trainings per Phase on the software solution and the dashboard for program administrators (i.e. NYSERDA and the Utility Administrators) and Aggregators as approved by NYSERDA. All training materials utilized in these sessions shall be provided to NYSERDA.

Deliverables:

- Detailed documentation of any changes made to the AMV Solution as technical support is continuously provided
- Data outputs, including NMEC savings calculations, produced from the AMV Solution as Aggregator portfolios are built and maintained
- Delivery of trainings as detailed in the training plan and all associated training materials

Task 8: P4P Pilot Optimization and Methods Improvements

Unless otherwise specified by NYSERDA, the AMV Solution Provider shall provide product development updates and support to accommodate new versions of the CalTRACK methodology during the period of the agreement. These updates shall be coordinated with NYSERDA's pilot activities such that contracted portfolios are subject to specific methods version control. A new version of the CalTRACK methodology will not be implemented without express consent from NYSERDA, with input provided by the Utility Administrators. Using a static data set, the AMV Solution Provider will be responsible for testing and clearly documenting the differences between versions of the CalTRACK methodology in a way that can clearly articulate the impact of changes on NMEC savings calculations.

The AMV Solution Provider shall stay informed of all major technical and methodological decisions made by the CalTRACK Technical Working Group and shall participate in CalTRACK Technical Working Group meetings and discussions as an active member. The AMV Solution Provider shall also be responsible for providing NYSERDA's P4P Team with guidance and recommendations for the P4P pilot program on an on-going basis. In addition, the AMV Solution Provider shall document the performance of the CalTRACK methods, including the impact of all assumptions and choices made while implementing the CalTRACK methodology as well as challenges encountered and potential improvements that could be made specific to NYS markets. All relevant information pertaining to development and user testing in NYS should also be documented and made publicly available as instructed by NYSERDA, with input from the Utility Administrators.

Deliverables:

- Documentation of changes to each version of the software based on updates to the CalTRACK methodology, as well as the version each portfolio is subject to
- Documented recommendations for CalTRACK methods, NYSERDA's P4P pilot, and potential future enhancements
- Documentation outlining development and user testing of the CalTRACK methods in NY

Task 9: Technology and Data Transfer

The AMV Solution Provider shall maintain a Turnover Plan, outlining the process by which they would transfer responsibilities, operational knowledge, and all platform artifacts to a successor designated by NYSERDA, with input from the Utility Administrators, in an orderly fashion such that operational capacity of the AMV Solution is not interrupted.

When the contract ends, regardless of why the contract is ending, the AMV Solution Provider shall cooperate with NYSERDA in the orderly transfer of responsibilities to a successor designated by NYSERDA and/or Utility Administrators and, at the request of NYSERDA, shall exercise good faith and due diligence to transfer duties to any such successor engaged by NYSERDA and/or Utility Administrators. The AMV Solution Provider shall provide NYSERDA and such successor with all information, including without limitation, but within the terms of granted customer consents, all information relating to assumptions involved in the application of the CalTRACK methodology, project and utility data, derived results, and deliverables, either complete or partial, developed for NYSERDA, and provide such cooperation necessary for the continued efficient operation, control, and maintenance of the AMV Solution.

Deliverables:

- An up-to-date Turnover Plan
- All project-related data files, documentation, and analysis files

Task 10: Data Destruction

Upon conclusion of the contractual relationship, including all data retention requirements set forth in Attachment A, and after transferring the appropriate data files to NYSERDA and/or the Utility Administrators and receipt of appropriate NYSERDA and/or Utility Administrator approvals, any confidential data and information used as part of the project shall be destroyed by the AMV Solution Provider, and the AMV Solution Provider shall countersign a letter to NYSERDA certifying this has occurred.

Deliverable:

- Countersigned letter sent to NYSERDA

Section 4 - Management Plan/Schedule

Proposals should provide an overview of when the proposed activities in the Statement of Work will take place, as well as when key stakeholder engagement will occur with Utility Administrators and Aggregators. The milestones provided by NYSERDA in Attachment K- P4P Milestone Timeline should be met by this schedule. The schedule may be provided in the form of “months after contract award” in a Gantt chart format. This schedule will be finalized in the project management plan described in Task 1: Project Management.

Section 5 - Project Personnel Staffing Plan

Proposals should describe the experience, qualifications (skills and abilities), and proposed responsibilities of each of the key persons to be utilized in the execution of the Statement of Work, including subcontractor personnel. Resumes should be provided for each proposed staff member. The AMV Solution Provider shall maintain an accurate Organizational Chart clearly delineating organizational roles, lines of authority, and current resources, to be updated as necessary to denote any staffing changes, and inclusive of any sub-contracted entities if applicable. The Staffing Plan must also document the duration for which the staff member will be filling the proposed role (6 months, 1 year, on-going basis, etc.).

The proposal should highlight the abilities of the primary contact, who will be responsible for communications with NYSERDA, development of work specifications, and oversight of product delivery.

Section 6 - Budget/Rates

The Proposer should complete Attachment H- Budget – P4P Template in Excel and submit electronically with the proposal. The Proposer shall provide an estimated budget per task and include a breakdown of expenses (time and materials, licensing fees, etc.).

The proposed budget may include time and material, milestones, license fees, or a combination. The final payment structure will be negotiated between NYSERDA and the AMV Solution Provider.

The proposer shall also complete and submit Attachment I- Project Personnel and Rates Form. The Proposer should clearly indicate the hourly salary rate for each title classification in the proposal, as well as the estimated cost of materials, supplies, equipment, and travel expenses. An annual escalator should also be included to indicate year over year increases in hourly salaries and license fees.

Section 7 - Examples of Similar Work

At least two (2) examples that address the proposer's experience and performance in providing products and services comparable to those being requested in this solicitation must be included. An abbreviated scope of product and services should be included to demonstrate the similarity, execution strategy, and cost-effectiveness of previous work. Proposers should indicate personnel involved and their level of responsibility for each example provided. Proposers should include website links or pictures that help to demonstrate their previous work, if applicable.

Note that a specific explanation of how the proposer has addressed (or could address) the issue will be more important to NYSERDA's assessment of the Proposal than a generic statement that the Proposer has dealt with the subject matter of this solicitation in a past project. Please include client contact information for each reference.

Section 8 - Additional Services

In this section, NYSERDA encourages proposers to describe features of their solution that can meet the services listed in the *Additional Services* section of this solicitation or related services they may offer that could contribute value to the P4P Pilot. Proposers should clearly state if these additional features are part of a core package or an optional package, whether they have off-the-shelf capability or require configuration or development, and what, if any, additional fees may be applicable. Please note that responses to the *Additional Services* section of this solicitation **will not** be directly considered in the scoring of proposals.

NYSERDA Responsibilities

The major responsibilities of NYSERDA are to:

- Provide a NYSERDA Project Manager to provide details and support to the selected AMV Solution Provider, as well as to help coordinate with Utility Administrators
- Provide detailed instructions about processes, reporting, and interfacing requirements that need to be supported by the software solution
- Provide review and testing of deliverables in a timely manner

NYSERDA reserves the right to:

- Incorporate programmatic changes as needed, thus modifying or adding to the business requirements needing to be met by the selected AMV solution. If a contract modification is needed, NYSERDA will enter negotiations with the AMV Solution Provider to accommodate the change.

- Add other project types and processes within NYSERDA's energy efficiency portfolio to be supported by the selected AMV Solution, in accordance with the terms of granted customer consent.
- Request modifications or enhancements to the solution to meet NYSERDA's needs and negotiate the budget for new features.

Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. At NYSERDA's discretion, top ranked 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 or present a demonstration.

- **Responsiveness and Proposed Execution**
 - Proposer demonstrates an understanding of the project and requirements
 - Proposal demonstrates an ability to deliver a solution in a timely manner
 - Proposal demonstrates appropriate understanding of P4P and NY specific markets and needs
 - Proposal demonstrates the Proposer's ability to make continuous and flexible improvements to the software solution and services, provide appropriate trainings, make programmatic recommendations, and complete other requested services
- **Solution Capabilities:**
 - Proposal demonstrates the solution's ability to meet requirements in Attachment A while minimizing costs and resources required of NYSERDA, Aggregators, and Utility Administrators
- **Relevant Experience:**
 - Proposal demonstrates the proposed team and dedicated personnel have completed similar work and that they possess the relevant experience to meet all needs outlined under this solicitation, including experience in building science, savings measurement and verification, training, technical support, data integration and analysis, software development, etc.
 - Proposal demonstrates the proposed team is organized in a way that will meet NYSERDA's needs and includes one or two dedicated resource(s) with appropriate experience
- **Cost:**
 - The proposal demonstrates sufficient value in meeting NYSERDA needs, in comparison to other proposals
 - The proposal demonstrates a reasonable proportion of development versus implementation costs
 - The Proposer provides experienced staff performing appropriate tasks at industry comparable costs
 - The Proposer provides innovative processes, structure, or methods to reduce implementation and operation costs

General Conditions

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

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

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

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

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

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

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

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered



with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

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

Contract Award - NYSERDA anticipates making one or more awards under this solicitation. NYSERDA anticipates awarding an initial four-year term, extendable up to an additional 5 years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal 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 Attachment L - Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 4 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

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

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

Glossary

- **Advanced Metering Infrastructure (“AMI”)**: Electric and natural gas metering technology capable of providing monthly, daily, hourly, and sub-hourly interval consumption and demand data.
- **Advanced Measurement and Verification (AMV)**: For the purpose of this solicitation, AMV refers to the CalTRACK data analysis methodology and software implementation to support weather-normalized metered energy consumption (NMEC) savings calculations as a basis for savings claims for the P4P pilot.
- **AMV Solution Provider**: Provider of a software service that analyzes energy consumption data to measure energy savings for the P4P Pilot. The AMV Solution Provider will be the awardee of this solicitation.
- **API**: Application Programmable Interface used to transfer data.
- **Aggregator**: A contracted entity responsible for delivering energy savings.
- **CalTRACK methodology**: The CalTRACK methodology is an open data analysis methodology and documented replicable procedure for calculating site-based, weather-normalized, metered energy savings from an existing conditions baseline. Version 1.0 is the approved standard for monthly and daily normalized metered energy consumption (NMEC). Version 2.0 is the under development standard for commercial buildings and hourly NMEC calculations. More information can be found at: <http://www.caltrack.org>.
- **Contractor**: Contractors with an active agreement with a contracted Aggregator to provide end user energy efficiency services, contributing to the Aggregator’s portfolio of projects
- **Customer**: An eligible utility account holder.
- **Flat File Transfer**: The preparation and transmittal of a data workbook export, typically in a comma-delimited format, via a secure file transfer protocol.
- **Green Button Connect (“GBC”)**: A data standard that allows for machine-to-machine exchange of Customer energy usage data hereunder, and future versions of which will provide additional Customer information.
- **HPXML**: The Home Performance Extensible Markup Language (HPXML) is an open data standard created to support the home performance industry by facilitating communication and the exchange of information and data on residential building and energy performance. More information can be found at: <http://www.hpxmlonline.com>.
- **Open Source Software**: Software code that is freely available for general, public use, redistribution, and modification. For a full definition from the Open Source Institute can be found at: <https://opensource.org/osd>
- **Personally Identifiable Information**: any information that can be used to identify any individual (for example, name or personal mark) in combination with any one of the following data elements:
 - Social security number or any derivation thereof, such as the last four digits of a social security number.

- Government issued identification, including, for example, driver's license, non-driver's identification information, such as New York City Identity Card ("IDNYC"), Individual Taxpayer Identification Numbers ("ITIN") and passports.
- Individual financial account number or individual financial account number and password.
- Information related to an individual's medical and psychiatric history, mental or physical condition, and human immunodeficiency virus (HIV) or psychiatric status.
- User name or e-mail address in combination with a password or security question and answers, such as mother's maiden name, which grants access to an account or system containing PII.
- Drug and alcohol test results.
- Biometric and genetic information.
- Any Personal Health Information (PHI) as defined by the Health Insurance Portability and Accountability Act of 1996 (HIPAA).
- **Pilot:** An energy efficiency or demand management program that is seeking to: (a) test a delivery model differentiated from existing models; (b) test a new procurement methodology; (c) test a less widely-used or newly emerging AM&V methodology; (d) test a new business model; (e) test a new method of aggregation; (f) test a new risk sharing arrangement; (g) target a specific market or Customer segment that has hitherto not been fully understood (h) address a new barrier or address a barrier in a new or novel way; or (i) test a new or existing technology not in wide use.
- **Phase or Pilot Phase:** A distinct period in which different sets of Pilot rules, conditions, and applications are tested.
- **Portfolio:** A group of projects administered by an Aggregator on which an Aggregator's performance will be determined
- **Project:** An implementation of any energy efficiency measure or intervention at a single site
- **Realization Rate:** The actual energy savings of a project or portfolio of projects divided by the predicted energy savings for a project or portfolio of projects.
- **Reforming the Energy Vision (REV):** New York State's comprehensive energy strategy. For additional information and background, please refer to: <https://rev.ny.gov/>

Attachments:

Attachment A- Pay for Performance Requirements Traceability Matrix

Attachment B- P4P High Level Process Flow

Attachment C- NYSERDA External Contractors Data Classification and Security Controls Policy

Attachment D- Joint Utilities Data Security Agreement

Attachment E- Self-Attestation of Information Security Controls

Attachment F- P4P Data Sets

Attachment G- NYSERDA Web Design Process

Attachment H- Budget – P4P Template

Attachment I- Project Personnel and Rates Form

Attachment J– Intent to Propose

Attachment K- P4P Milestone Timeline

Attachment L– Sample Agreement



NYSERDA

"Residential Building Stock Assessment"

Request for Proposal (RFP) 3916

Up to \$2 million Available

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

Proposals Due: Monday, July 16, 2018 by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) requests proposals from organizations or individuals interested in conducting a residential building stock assessment. This study is the first longitudinal update of the 2015 Residential Statewide Baseline Study of New York State¹.

The overall objective of this study is to understand the current residential building stock and associated energy use, including saturation of energy consuming equipment by fuel, penetration of energy efficient equipment, and information on building characteristics and energy management practices compared to the 2013 baseline. Additional data may be collected to establish baselines for pilot initiatives and market transformation interventions to be implemented in the coming years. This study will collect updated customer household and demographic information, assess the market for electric and non-electric heating and water heating equipment and update the 3- and 5-year energy efficiency technical, economic, and achievable potential estimates. The potential study component will also be expanded to include a 10-year assessment of energy efficiency technical, economic, and achievable potential. The selected Contractor will be required to collect primary data areas across the state and utilize secondary data, where possible, from other recent research studies.

The information gathered from this building stock study is necessary to support intervention design and evaluation, including a critical use in understanding market transformation. Based on the aggregation of data collected through this building stock study, NYSERDA will be better equipped to design interventions that strategically target high opportunity segments, measures, or behaviors within the NYS residential buildings market. This data will also be valuable to external public and private stakeholders inside and outside of New York State, providing New York specific sector-level data pertaining to building stock, demographics, and energy consumption that can be leveraged in a range of use cases (e.g., energy consumption forecasting, customer targeting, etc.) to produce a better understanding of the New York State residential market and its needs.

Up to \$2 million will be made available to support this project. However, substantial consideration will be given in proposal review to cost efficiency, competitiveness, and ability to reduce project costs by leveraging developed materials from the 2015 Residential Statewide Baseline Study.

¹ <https://www.nyserdera.ny.gov/About/Publications/Building-Stock-and-Potential-Studies/Residential-Statewide-Baseline-Study-of-New-York-State>

Informational Q&A

Proposers should submit all formal questions to Carley.Murray@nyserda.ny.gov with the header "RBSA: Solicitation Questions- *Proposing Entities Name*". NYSERDA will accept questions regarding this solicitation until **Tuesday, June 19 at 5 p.m. EST**. Responses to all questions will be provided on a publicly facing page on NYSERDA's website on **Friday, June 22 by 5 p.m. EST**. All questions will be posted anonymously. NYSERDA's written responses will supersede any content provided within this solicitation.

Proposal Submission:

Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](#) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Carley Murray (Primary Designated Contact-Technical Questions) at (518) 862-1090, ext. 3277 or Carley.Murray@nyserda.ny.gov, Tricia Gonzales (Designated Contact-Technical Questions) at (518) 862-1090, ext. 3338 or Patricia.Gonzales@nyserda.ny.gov, or Venice Forbes (Designated Contact-Contractual Questions) at (518) 862-1090, ext. 3507 or Venice.Forbes@nyserda.ny.gov. Contacting anyone other than these Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

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

Proposers must complete and submit Attachment A- Intent to Propose to Carley.Murray@nyserda.ny.gov with the email header "RBSA: Intent to Propose- *Proposing Entities Name*" no later than Friday, June 29 at 5 p.m. EST if they intend to submit a response to this solicitation.

I. Introduction

NYSERDA's baseline assessment of the residential building stock in New York State, called the Residential Baseline Study, was published in 2015 and was conducted from 2011 to 2014. The purpose of the baseline study was to understand the existing and new residential building stock and its associated energy use, the penetration of energy-efficient equipment, building characteristics, and energy management practices (including the use of internet connected "smart home" devices). Through self-reported interviews and on-site visits, the study collected the building characteristics, energy use, energy consuming equipment characteristics, and occupant demographic information for a diverse sample of single-family and multifamily residential buildings. The study also included a heating, ventilating, and air conditioning (HVAC) Market Assessment designed to determine baseline conditions for residential electric and non-electric heating and water heating equipment, central air conditioning, and heat pumps in New York State. A near-term Residential Potential Study was developed to determine the technical, economical, and achievable residential energy efficiency opportunities in New York State in 3- and 5-year increments from a base year of 2013. This building stock study will expand on the short-term potential increments and will also include a 10-year assessment.

This building stock study is the first longitudinal assessment (first follow-up study) of the Residential Baseline Study. It is expected that the methodology, approaches, and instruments developed and deployed in the Residential Baseline Study will be leveraged and rigorous results achieved.

Links to the final reports, methodology, and data sets from the Residential Baseline Study can be found on NYSERDA's website².

II. Project Requirements

NYSERDA will procure a contractor to conduct an update to the comprehensive Residential Baseline Study of the residential market for new and existing single-family buildings (referred to as the Residential Building Stock Assessment). The final results shall be further disaggregated as outlined in this request for proposals.

The objective of the study is to conduct a building stock study to understand changes to the residential building stock and associated energy use, including the saturation of energy consuming equipment (electric, natural gas, and other fuels) and the penetrations of energy consuming equipment, building characteristics and energy management practices since the 2013 baseline. Additional data may be collected to establish baselines for pilot initiatives and market transformation interventions to be implemented in the coming years. The study will also collect customer household and demographic information which would be correlated with energy usage and compared to the baseline year. Please note while this is the case, this is not a panel study and should not be treated as such.

Additionally, the study will assess the market conditions for non-electric heating and water heating equipment to determine the efficiency of equipment installed in New York. Finally, the study will include an update to the short-term (3- and 5-year) energy efficiency technical, economic, and achievable potential estimates using the primary data collected in the building stock assessment. This building stock study will expand on the short-term potential increments and include a 10-year assessment.

² <https://www.nyserdera.ny.gov/About/Publications/Building-Stock-and-Potential-Studies/Residential-Statewide-Baseline-Study-of-New-York-State>

A. Services Requested

Overview

The information gathered from this building stock study is necessary to support intervention design and evaluation, including a critical use in understanding market transformation³. Based on the aggregation of data collected through this building stock study, NYSERDA will be better equipped to design interventions that strategically target high opportunity segments, measures, or behaviors within the NYS residential buildings market.

This data will also be valuable to external public and private stakeholders inside and outside of New York State, providing New York specific sector-level data pertaining to building stock, demographics, and energy consumption that can be leveraged in a range of use cases (e.g. energy consumption forecasting, customer targeting, etc.) to produce a better understanding of the New York State residential market and its needs.

All of New York State residential, single-family (defined as one- to four-family units) energy users will be represented in the scope of the Residential Building Stock Assessment. Leveraging existing methodologies, approaches, and survey instruments created during the Residential Baseline Study, the selected Contractor will be required to collect primary data in areas across the state and assess secondary data, where possible, from other recent research studies to reduce costs, maintain project timelines, or to fill in information gaps where it may be prohibitively challenging or expensive to collect primary data. The existing methodologies, approaches, and survey instruments from the Residential Baseline Study must be rigorously reviewed and updated before beginning data collection to ensure statistically significant data can be collected.

Unlike the baseline study, this update will exclude new and existing multi-family buildings (5 units or more), including dwelling units, common areas, and whole buildings, as these buildings will be included in either NYSERDA's Commercial Statewide Baseline Study (2018) or a multi-family specific update study (2019). The Residential Building Stock Assessment will also add a focus on heat pumps and electrification not included in the original study.

It is expected that NYSERDA will provide the selected Contractor with utility data to inform sampling. However, in the possible event this data not become available, all respondents should provide estimated sample sizes and associated budgets assuming this data is not available.

The information collected will be compared to the results of the Residential Baseline Study with a focus on changes in the marketplace. The data from both studies should be rolled up to demonstrate change over time and build measurements of key indicators. Conclusions should be drawn about the implications of the changes as well as the reasons for the changes.

NYSERDA would prefer for all data analysis to be completed using the SAS programming language.

Telephone or Web-based Survey

This project will include telephone and/or web-based surveys for a representative sample of market rate and low- to moderate- income (LMI) single-family (1-4 units) existing and newly constructed (defined as residential units built and occupied in 2017 or later) residences throughout New York. This study will assess residential single-family buildings and their energy-using equipment and appliances, with several characteristics being collected including, but not necessarily limited to:

³ For the purposes of this solicitation, Market Transformation is defined as "the strategic process of intervening in a market to create lasting change in market behavior by removing identified barriers or exploiting opportunities to accelerate the adoption of all cost-effective energy efficiency as a matter of standard practice."

<https://aceee.org/portal/market-transformation>

- Inventory of primary HVAC and water heating equipment (for all heating fuels), including size, rated efficiency, equipment age, water heater equipment type (tank, indirect, on-demand, etc.). For central A/C and air source heat pump, location, size, rated efficiency, duct location, presence of duct insulation, etc. should be recorded.
- Availability, type, efficiency, and utilization of secondary heating sources
- HVAC controls, including type and use of thermostats (e.g., programmable and smart thermostats)
- Inventory of home energy management systems
- Presence and charging practices of electric vehicles on site
- Lighting inventory, penetration of lamps and fixtures (e.g., incandescent, CFL, or LEDs), and occupancy sensors and timers
- Customer supplied hours of operation and set points for all major energy-using equipment
- Inventory of household appliances including refrigerators (primary & secondary), freezers, dehumidifiers, clothes washers, clothes dryers, dishwashers, wine coolers/chillers and room air conditioners; information on number of appliances, age, energy use, presence of ENERGY STAR, connected capability, etc.
- Plug loads including, but potentially not limited to, cable boxes, faxes, printers, computers, game systems, televisions, cell phone chargers, smart strips and if they are used properly, portable phones, etc.; type of internet connection used in the home
- Building shell characteristics (type of construction, vintage, size, square footage, number and efficiency [U factor or panes] of windows, insulation, air sealing, shell, stories, number of units, basement/crawlspace/slab, etc.)
- The presence of solar or other on-site renewable generation
- General consumer characteristics and behavior, including as described in Task 7.

The Contractor should also propose other innovative data collection points that could help assess building performance, if appropriate. If the Contractor does propose additional data collection work at inspection sites, this work should be included as an additional line item in the Contractors proposed budget.

On-site Inspections

This study will include on-site visits to existing single-family residential homes and newly constructed single-family homes in New York. Single-family homes for this study include fully detached homes and semi-detached (semi-attached, side-by-side) row-houses and townhouses. In the case of attached units, each must be separated from the adjacent unit by a ground-to-roof wall and not share heating/air-conditioning systems.

On-site visits of residential single-family residences should include an updated energy rating using the Home Energy Rating System (HERS) for each home and include but may not be limited to:

- Recording key data on building shell characteristics including type of construction, size, square footage, number and efficiency [U factor or panes] of windows, insulation, air sealing, shell, stories, basement/crawlspace/slab
- Conducting blower door tests and duct blaster tests (for homes with ductwork) where conditions support this data collection
- Documenting primary HVAC and water heating equipment including size, the rated efficiency, equipment age, water heater equipment type (tank, indirect, on-demand, etc.), and for central A/C and air source heat pump location- size, rated efficiency, duct location, presence of duct insulation, etc.

- Availability, type, and utilization of secondary heating sources, if applicable
- Inventory of HVAC controls, including types of thermostats, especially programmable and smart thermostats and if they are used properly
- Lighting inventory, penetration of CFL lamps and fixtures, LEDs, occupancy sensors and timers
- Customer supplied hours of operation and set points for all major energy-using equipment
- Inventory of household appliances (including primary and secondary refrigerators, freezers, dehumidifiers, clothes washers, clothes dryers, dishwashers, wine coolers, room air conditioners) information including number, age, energy use, presence of ENERGY STAR, connected capability, etc.
- Plug loads (including, but potentially not limited to, cable boxes, faxes, printers, computers, game systems, televisions, cell phone chargers, smart strips and if they are used properly, plug-in heaters, air ventilation systems, etc.) and the type of internet connection used in the home
- Characterize any solar or on-site generation and its use.
- Overall home energy usage (calculated and represented as Energy Use Intensity(EUI)) correlated, when appropriate, with the above information

The Contractor should reference the methodology implemented and the sample sizes utilized in the Residential Baseline Study as a guideline to ensure this and any other longitudinal measurements can be compared to the Residential Baseline Study. Refer to Appendix A for a summary of the Residential Baseline Study methodology and response rates.

NYSERDA will make Qualtrics available to the Contractor and prefers the use of Qualtrics for primary data collection above similar tools. However, the Contractor should propose tools and approaches for primary data collection that are best suited for the audiences and research activities included in this RFP.

The selected Contractor will be responsible for proposing an approach to offering both monetary and non-monetary incentives to achieve sufficient and cost-effective participation in surveys and on-site inspections. This proposal should include what incentives to offer and how the incentive should be delivered to participants. Any incentive will require feedback and approval from NYSERDA before implementation to ensure compliance with organizational and state policy and precedent. Additionally, the Contractor should have the capability of issuing such payments when applicable. Proposers should include costs for recruitment incentives in their bid price, but clearly identify the incentive as a separate line item. Any incentive payments made shall come out of the identified budget for this study. Innovative approaches are encouraged.

Tasks and assistance that may be required of the selected Contractor include, but are not limited to, those tasks described below:

Task 1: Review of Residential Baseline Study

The Contractor is expected to conduct an in-depth review of the first year Residential Baseline Study measure list, methodology, data collection instruments, sample design, and results.

The number of surveys and on-site visits budgeted in responding to this RFP should reflect the proposer's estimates based on the results of the Residential Baseline Study and the requirements outlined in this solicitation. Based on the outcome of Task 1, NYSERDA and the other project collaborators may elect to expand, contract, or otherwise change some activities described in the remaining tasks of this RFP.

Deliverables:

- Memo demonstrating review of the Residential Baseline Study data collection instruments and methodology, including salient points, reusable methodology and recommended methodological revisions, review of lessons learned, etc.
- Summary of proposed changes to the Residential Baseline Study methodology to be used in the Residential Building Stock Assessment.

Task 2: Review of Existing Data

To maximize cost efficiency and prior to making any recommendations related to primary data collection, the selected Contractor shall first review existing data sources available to support the Residential Building Stock Assessment. Existing data sources include, but may not be limited to, program data, prior studies, utility customer data, and/or third-party data sources. Examples include the following:

- Program Data: 1- to 4-family comprehensive home energy assessment data collected through NYSERDA's Home Performance with ENERGY STAR program may be used to complement, or possibly replace, some data planned to be collected through this study.
- Utility Energy Usage Data: Utility energy usage data, for electricity and natural gas, is expected to be available to support sample development and stratification, analysis, and extrapolation of results.
- Third-Party Data Sources: The following public and private data sets may also be made available to inform this study:
 - o Census data including the 2010 Demographic Profile and the 2012-2016 American Community Survey⁴
 - o NYS Department of Taxation and Finance Tax Assessment Roll data (provided by NYSERDA)
 - o Infogroup data (provided by NYSERDA)
 - o HARDI data (provided by NYSERDA)
 - o U.S. Energy Information Administration (EIA)
 - o Department of Housing and Urban Development's (HUD) American Housing Survey⁵

Review of the available data and discussions among NYSERDA and the selected Contractor will determine the ultimate feasibility of including existing data as part of this study. Issues such as data comparability, data-linkage, validity, representativeness, and timing should be considered in deciding whether existing data can be used to supplement or take the place of primary data collection.

Deliverables:

- Documentation demonstrating review of materials.
- Summary of recommendations for leveraging secondary data sources to supplement, triangulate, and validate results.

Task 3: Kick-off Meeting

The Contractor will participate in a kick-off meeting with NYSERDA and any other designated stakeholders (to be selected by NYSERDA) to discuss project details, priority issues, availability of contact lists and databases, and a project schedule. Based on the findings in Task 1 and 2, the Contractor will work with NYSERDA to finalize the evaluation plan and general/high-level sampling plan.

Deliverables:

- Kick-off meeting
- Final evaluation plan
- General, high-level sampling plan

Task 4: Finalize Work Plan and Update Study Documentation and Tools

⁴ https://factfinder.census.gov/faces/nav/jsf/pages/community_facts.xhtml?src=bkmk

⁵ <https://www.census.gov/programs-surveys/ahs.html>

The selected Contractor shall finalize a work plan, with NYSERDA's approval, detailing the process, timeline and cost for undertaking activities related to the Residential Building Stock Assessment, including, but not limited to:

- Reviewing and revising the homeowner recruitment survey instruments for site visits from the Residential Baseline Study
- Telephone or web-based survey of existing homeowners and, if appropriate, property managers of 1-4 family buildings
- Collecting field data through detailed audits of existing and newly constructed single-family homes
- Conducting interviews with heating and water heater equipment supply houses, heating contractors and plumbers
- Data analysis, report writing and presentation of results

The finalized work plan should include a detailed analysis plan that will solidify how the longitudinal study between the Residential Baseline Study and the Residential Building Stock Assessment will be conducted. The plan should link the data being collected as part of the Residential Building Stock Assessment to data collected in the Residential Baseline Study to ensure longitudinal measurements and conclusions can be made. The findings from both studies should roll up, show change over time, and build measurements of key indicators of market change. The analysis should not only include a comparison of the baseline and the Residential Building Stock Assessment, but also assess what the findings mean and answer key research questions (e.g. what do the findings imply about the residential market in NY?, what are the reasons for the changes between the baseline and the Residential Building Stock Assessment?, etc.). The plan should also be formatted in a way that it may be used to enable longitudinal studies with future updates to the NY residential building stock.

All updates and revisions to major documentation and tools (e.g., work plans, survey instruments, etc.) based on the review of the Residential Baseline Study in Task 1 should be shared with NYSERDA for review/approval before moving forward.

Deliverables:

- Updated documentation and tools based on review of materials from the Residential Baseline Study, including a finalized work plan (with analysis plan that ensures a defensible longitudinal analysis), finalized survey instruments, data security plan, etc.

Task 5: Sampling Design

After reviewing the Residential Baseline Study methodology and available secondary data as outlined in Task 1 and 2, the Contractor will be directed to develop various probability-based sampling strategies that could be used for the remaining tasks. The Contractor should weigh the costs and benefits of the different data collection methods (telephone or web-based survey versus on-site visit), sample sizes, and levels of desegregation when developing the sampling plans. The Contractor should provide estimates of statistical precision that could be expected for each sampling strategy proposed, ensuring longitudinal comparison to the baseline year. The Contractor will develop detailed costs for the top three sample design strategies recommended for consideration by NYSERDA.

NYSERDA will carefully examine the suggested sample designs and associated costs for completing the remaining tasks and will determine which sampling approach is most appropriate for the study. As previously stated, the Contractor should carefully review the sampling design utilized in the Residential Baseline Study, as results from the Residential Building Stock Assessment must be comparable to distinguish changes that have occurred in the market since the Residential Baseline Study was conducted. NYSERDA reserves the right to terminate the project if the costs for completing the recommended sample designs exceed the available funding for the project.

In developing the sampling strategy recommendations and the final sample design, the contractor will need to understand and address the complexity of designing an efficient and effective sample across

multiple electric and natural gas utility service territories, weather zones, housing types, and heating fuels. For both existing buildings and new construction the sample size should not only be representative of the entire population but be large enough to be statistically significant for the 10 Economic Development Regions and three climate zones within the state for electric and natural gas customers (e.g., Western, Upstate, Downstate and Long Island) at a 90/10 confidence and precision level. Other space and water heating fuels (e.g., fuel oil, propane) should be represented in any sample populations at least proportionally to their overall representation in the state. Oversamples may be required to meet the need for statistically valid data for program impact evaluation and planning purposes for various forms of energy use, customer types, weather zones, etc.

The sample of new construction buildings will be developed from the New York State Department of Taxation and Finance's final Tax Assessment rolls covering 2015 through 2017. The assessment rolls will be cleaned and compared across years to identify new entries. These new entries will be designated as new construction projects. While NYSERDA will complete the analysis to identify these new construction sites, the Contractor should work with NYSERDA to verify the methodology.

Based on an initial assessment in early 2018, NYSERDA has determined that populations in utility territories have not shifted significantly since the Residential Baseline Study was conducted. NYSERDA will work with NYS utilities to confirm that this initial analysis is correct, and the Contractor will work with NYSERDA to support any necessary changes to sample sizes based on utility responses. The Contractor shall work with NYSERDA to confirm this assumption, methodology, and propose alterations or additional study as needed.

Deliverables:

- List of proposed survey respondents.
- Documentation of how samples were selected and a final sample strategy.

Task 6: Conduct Interviews with HVAC Equipment Dealers and Installers

The purpose of this research component is to update the 2013 baseline conditions for high-efficiency heating equipment in New York. The Residential Baseline Study describes the market conditions in 2013, and the Contractor shall identify what percent of the equipment being sold is currently high efficiency, and how the market has changed since the Residential Baseline Study. Several levels of high efficiency may be parsed out if appropriate for the technology/market being assessed. Attention should also be paid to measures installed in 1-4 unit projects or in town-house type configurations where individual units have their own heating systems.

This research is intended to help inform sponsors of the market penetration for high efficiency residential furnaces, boilers, domestic hot water heaters, and renewable heating and cooling technologies such as air source heat pumps (ASHP), ground source heat pumps (GSHP), biomass systems, and solar heating and cooling technologies. Market channels and specification practices for these technologies should also be characterized. This investigation would look at the market differences throughout the state for the geographic breakouts defined in the sampling design.

The Contractor will conduct a representative sample of interviews with HVAC-related trade associations, manufacturers, distributors, and contractors to determine the percentage of equipment that meets certain efficiency criteria and determine if the market has been transformed for certain levels of efficiency. The Contractor should factor in current and future DOE standards/code changes for relevant equipment.

This task shall leverage existing instruments from the Residential Statewide Baseline Study, to the ability reasonable and possible.

The purpose of the contractor interviews will be to determine the efficiency level of equipment currently being installed and gauge common practices in the HVAC installer and service market in comparison to the baseline year. Additionally, the interviews should assess levels of awareness with respect to problems resulting from over sizing, leaky ducts, air distribution system design, and charging deficiencies. Elements of common practice that will be explored include, but are not limited to:

- practice, techniques, and experiences with sizing new systems and retrofit systems;
- designing, installing, replacing, and fixing air distribution systems;
- recommending and specifying system efficiencies and renewable technologies (ASHP, GSHP, etc.);
- diagnosing techniques for ensuring adequate system refrigerant charging;
- manufacturer training practices and energy efficiency content; and
- installer training and certification practices.

The Contractor should propose an appropriate sample size for interviews with HVAC Equipment Contractors, Distributors, Manufacturers, and Trade Association Representatives and any recommended methodological changes to reach the 90/10 confidence interval.

Deliverables:

- Data and analysis files.
- Survey disposition reports.
- Methodology Reports.

Task 7: Conduct Telephone or Web-based Survey

Telephone and web-based surveys should be conducted for a representative sample of existing residential single-family buildings. Both telephone and web-based surveys should be offered unless otherwise noted or agreed to by NYSERDA.

For single-family dwellings, the homeowner or tenant will be surveyed, but the property owner or manager may also be interviewed where appropriate. The sampling approach should be designed to achieve a minimum of 90% confidence levels with a precision of +/- 10% for each identified geographic breakout and housing type, as well as for high importance end uses such as central air conditioning and space heating equipment.

For the single-family survey, questions should inform equipment penetrations that are relevant to the technologies and the end-uses identified above, including efficiency level. Home characteristics, demographic (including income level), attitudinal, and behavioral information related to energy use should also be collected. Prior participation in energy efficiency programs should also be identified.

The contractor shall make efforts to minimize measurement error and will be responsible for pre-testing the questionnaire and optimizing the web-based survey for mobile devices.

This task shall leverage existing instruments from the Residential Statewide Baseline Study, to the ability reasonable and possible.

A cost estimate for offering an option for participants to complete the survey in Spanish should be provided in proposals. Offering the survey in Spanish will be an optional task exercisable at NYSERDA's discretion.

In addition to the material covered in the Residential Baseline Study, the telephone and web surveys should also cover:

- Consumer behavior when purchasing a new home and selling a home, especially regarding:
 - o how consumers value energy efficient homes versus inefficient homes (willingness to pay for additional energy efficiency in a home, awareness of the differences in value of energy efficient homes, including non-energy values, etc.)
 - o homeowner awareness, decision making and purchasing behavior related to ENERGY STAR, on-site home energy audits, on-line home energy audits, home energy ratings, energy efficiency services (how to find qualified contractors, what "qualified" means, and

whether energy improvements have been made), energy ratings/certifications in real estate transactions, home energy management through connected devices, etc.

- Consumer willingness to switch heating fuels (oil to natural gas, natural gas to electric, etc.)
- Consumer awareness of electrification and willingness to convert from fuel (natural gas, propane, heating oil, etc.) consuming equipment to electric consuming equipment
- Consumer awareness, possession, and utilization of “smart home” technologies for controlling energy consumption
- Research questions that may aid in the development and deployment of NYSERDA’s residential initiatives, including the Engaging New Markets initiative⁶.
- Presence and charging practices of electric vehicles on site
- Questions pertaining to common market barriers (i.e., need for financing, lack of information, etc.) and options for overcoming them should also be included in survey instruments.

At the end of each survey, an option should be given to respondents to recruit them for participation in an on-site inspection.

Deliverables:

- Data and analysis files in .csv or .sas format (should include all code utilized for imputation, data cleaning, data weighting, etc.).
- Survey disposition reports (compliant with industry standards).
- Methodology Reports.

Task 8: Conduct On-Site Survey

Task 8 involves on-site visits to a sub-sample of new single-family homes and existing homes that were surveyed by telephone or web in Task 7. For existing homes, the on-site visits will be used to validate information collected over the phone or web as well as collect more detailed information.

The on-site visits may use a nested sample approach. As was done in the Residential Baseline Study, in-person mini-surveys may be completed during on-site inspections at new construction sites if necessary to obtain the number of survey completes required to reach the 90/10 confidence level. However, it is strongly preferred by NYSERDA that this strategy is used only if the Contractor demonstrates that a satisfactory number of phone or web surveys cannot be completed without on-site surveys. This approach shall only be considered by the Contractor and approved by NYSERDA if rigor and statistical significance is maintained.

The Contractor will be responsible for proposing, developing, and deploying a method and tool for collecting on-site data. NYSERDA strongly prefers the method and tool to be available for NYSERDA’s use in subsequent residential building stock studies. This can be accomplished by using an open method and open source tool, by transferring ownership of the method and tool to NYSERDA at the end of the study, or by any other method that will ensure ownership following the completion of the study. The accessibility and ownership of the method and tool after the study will be considered while scoring proposals, with preference given to proposals that allow for NYSERDA’s access or ownership after the Residential Building Stock Assessment is complete.

The inspection data input form will be in an industry best practice format and contractors or subcontractors will be asked to submit all completed forms electronically to NYSERDA at least once every two weeks. At the outset of the project each contractor will be asked to conduct one on-site visit and return the completed form to NYSERDA before conducting any additional on-site visits. After each contractor has submitted one completed form, NYSERDA and the Contractor’s project manager will

⁶ <https://www.nyserdera.ny.gov/-/media/Files/About/Clean-Energy-Fund/CEF-Residential-Chapter.pdf>

review the submitted forms and discuss any needed revisions to the form with the contractors to ensure all contractors complete the forms consistently.

The end-uses to be documented are noted below, with a listing of the minimum information that should be collected for each one. The selected Contractor will be expected to propose a complete list to meet the project's requirements. On-site inspections should collect and verify any data not obtained during the phone or web interview required for calculating EUI. EUI will be calculated as the total annual energy consumption of the building (MMBTU) divided by the total gross floor area of the building (square footage).

This task shall leverage existing instruments from the Residential Statewide Baseline Study, to the ability reasonable and possible.

Heating & Cooling Systems, Water Heaters, and Other Appliances

(Other appliances include washing machines, clothes dryers, dishwashers, refrigerator/freezers, stand-alone freezers, dehumidifiers, wine coolers, and room air conditioners)

- Source of heating (cooling) and if that heating (cooling) system is shared among participants in 2-4 unit dwellings.
- Primary type of fuel used and type of heating (cooling) system used to heat (cool) the building.
- Fuel type, including primary and secondary, will be noted from visual inspection and usage patterns from inquiry with owner.
- Presence of alternative heating systems (e.g. fireplace, woodstove, ASHP, GSHP, etc.); fuel type used and how often the alternative heating system is used.
- Age of each appliance in dwelling unit.
- Nameplate information (manufacturer, model number and size) when observable. Estimated age if information is not available on nameplate or in other documentation. Presence of ENERGY STAR noted and documented (e.g., photograph) if possible from observation.
- Ask if heating or cooling appliance is serviced by a contractor. If so, how frequently?
- Number of cycles per week (for clothes washers, dryers, dishwashers), assess heating and AC usage patterns.
- Various non-energy related features incorporated in energy efficient products in comparison to less energy efficient products (e.g. internet connected capabilities, through the door water/ice dispenser for refrigerator freezers, insulation levels for water heaters, materials used in produces such as stainless steel).
- Solar hot water heating system, and if appropriate, size, technology, working order, etc.
- Number, type and fuel type of kitchen appliances.
- List the number of small appliances there are and duration of use (small appliances may include toasters, toaster ovens, microwaves, etc.). Ask about whether each small appliance remains plugged in.
- Characterization of any solar or on-site generation sources

Lighting

- Every lighting fixture, both hardwired and portable, should be inventoried by fixture type, including the number of lamps and lamp type. It should be noted if the light fixture is internet connected (i.e. a smart bulb).

- Light switches will also be checked for dimming capabilities and control schemes such as manual, timer, occupancy sensor, light sensor, or 3-way.
- Hours of use for each fixture.

Pool and Hot Tubs

- Determine the efficiency of pool pumps from pump nameplate
- Confirm other pool features (heated/unheated, type of heating, etc.)

Utility Company

- Confirm electricity usage and utility provider
- Confirm natural gas usage and utility provider
- Confirm usage for other fuels and utility provider(s)
- Confirm who is paying the utility bill (Owner/Tenant)

Plug Loads

- Determine number of units and different types of home electronic and office equipment such as televisions, computers, monitors, tablets, home entertainment equipment, DVD players, battery chargers, cordless phones, audio equipment, set top boxes, power strips, smart strips, fax machines and printers.
- List the number other potentially energy saving technologies and their duration of use, especially internet connected devices (these technologies may include smart strips, home automation technology or home energy management technology including home assistants such as the Google Home and the Amazon Echo, smart thermostats, and other internet of things connected devices, etc.) Verify smart strips are used properly.
- Identify the occurrence of plug-in heaters, air ventilation systems (whole house systems), etc.
- Hours of use by type
- Usage cycles for each type
- Confirm correct use of smart strips

Windows

Record the predominant window type (single, double, triple pane), check for the existence of storm windows, low-E coating and, if possible, if they are gas filled.

Insulation

Insulation levels of the floor, walls and attic through visual inspection, if possible. Efforts should be made to estimate the insulation levels and type of insulation through discussions with the contact and based on educated judgment (i.e. wall construction 2x4, 2x6, home age, etc.) when no visual observations are possible.

Air Leakage Assessment

For new construction on-sites, the site work will include blower door tests and duct leakage testing if deemed appropriate by both the Contractor and NYSEERDA. Blower door tests will not be conducted during on-site inspections where BPI standards would preclude such testing or when the structure of the home would make it difficult to produce reliable results.

Provide blower door tests to assess air leakage and duct blaster test to assess duct leakage where appropriate for each existing single-family home visited.

Recruitment of homeowners for the on-site inspections shall be conducted at the end of telephone and/or web surveys in a manner that minimizes bias in the sample of homes selected. Unless otherwise noted by NYSERDA, all recruiting must be done by personnel with a least one year's experience in data collection recruitment and must follow this protocol: in cases of answering machines or no answers, customers should be called back at least five times before moving on to the next name. At least three of these callbacks need to be on weekday evenings (6 p.m. to 9 p.m.) or on weekends. Recruiters shall provide NYSERDA with weekly reports of call disposition, including the number of calls made, refusals, ineligible customers, and customers awaiting callbacks.

If the on-site visit identifies any health or safety issues, the homeowner must be notified by the contractor at the time of the visit, and then followed by a written notification. Personnel conducting the basic on-site visits must have proper training and experience to conduct a comprehensive assessment of the home. Completion of Home Energy Rating System (HERS) or relevant Building Performance Institute (BPI) training programs or an equivalent is acceptable.

If the documentation from the Residential Baseline Study is not sufficient, the Contractor will develop or update a guide book for inspectors to ensure measurements are conducted and data is collected consistently across on-site inspections and between the on-site inspections in the Residential Baseline Study and this study.

All homeowners shall be offered the option of scheduling their on-sites on weekdays, evenings, or weekends. We assume that an incentive will be necessary to have customers agree to participate in these on-site visits and proposers should give thought to the type of incentive offered and implementation approach.

Deliverables:

- Data input form.
- Data and analysis files.
- Survey disposition reports.
- Methodology Reports.
- Incentive tracking reports.
- Interviewer training materials.

Task 9: Residential Potential Study

Subtask 9a: Review Existing Potential Analysis Methodology and Data Sources:

NYSERDA has completed two previous studies estimating energy efficiency potential: a 2014 long-term potential study (referred to as the Long-term Potential Study) and a 2015-16 short-term potential study as part of the Residential Baseline Study (used 2013 as baseline year, referred to as the Short-term Potential Study)⁷. Moving forward, NYSERDA will seek to streamline its assessments of energy efficiency potential by aligning them with updates to the Residential Baseline Study. However, these studies will now aim to assess energy efficiency potential over a 10-year period with an emphasis on years 3, 5, and 10. The primary goal of the potential study will be to identify updated opportunities not yet defined and, if and where possible, to recommend programs or actions to pursue those opportunities found to be cost-effective.

To keep the scope manageable and shorten time to results for the potential study update, the Contractor will leverage existing resources and approaches developed during the 2014 and 2015-16 assessments.

NYSERDA anticipates that the updated potential study shall leverage the model—and associated methods and data—developed for use in the Short-term Potential Study. However, the Contractor shall first review and evaluate the existing model's approach and assumptions. The Contractor shall prepare

⁷ Note that Appendix A and B of this document cover the methodology and measure list used as part of this study: <https://www.nyserdera.ny.gov/-/media/Files/Publications/building-stock-potential-studies/residential-baseline-study/Vol-4-Potential-Study-Res-Baseline.pdf>

an evaluation memo that details and summarizes their findings and recommendations for improving the model. The following topics—at minimum—should be addressed in the memo:

- Benchmarking and Forecasting- Potential studies may follow “top-down” or “bottom-up” approaches. The Long-term Potential Study took a top-down approach, while the Short-term Potential Study employed a bottom-up approach. The latter is better able to take advantage of the detailed, stock-level data collected as part of the Residential Baseline Study. NYSERDA anticipates that upcoming energy efficiency potential assessments, including the Residential Building Stock potential study, will follow a bottom-up approach. Therefore, the Contractor should assess:
 - o How bottom-up data compares and relates to top-down, “actual” fuel consumption statistics
 - o How top-down data like fuel consumption across NYS can be merged with bottom-up data
 - o How an updated, 10-year, baseline forecast will be constructed and used in the study
 - The Short-term Potential Study model has a 10-year time horizon option. The Contractor should evaluate the assumptions and methodology of this 10-year model and, if the model is deemed useful, recommend any alterations or additional considerations that should be made.
- Assumptions and Data- The evaluation of assumptions and data shall aim to ensure that assumptions made, and data selected, are reasonable and current. However, it shall also aim to identify options to streamline the model and approach where possible to allow for a more manageable scope size. The following questions should be addressed:
 - o What, if any, updates should be made to the database of included energy efficiency measures?
 - What options are recommended for measure addition, removal, or consolidation to balance analytic quality and manageability of scope?
 - o What, if any, updates should be made to measure characterizations and data sources?
 - o How is potential measure deployment addressed in this study, and should these assumptions change?
 - For example, how do current applicability factor assumptions⁸ impact the analysis?
 - What options are recommended for updating applicability factor assumptions, and how do applicability factor considerations relate to updates proposed as part of the questions above?
 - Assess the level of impact, time, and cost of updating the measure groups to provide additional granularity of measure efficiency adoption
- Fuel Switching- Switching from fossil fuel-based space and water heating to efficient, electric heat pumps (e.g., air-source and ground-source) is a key energy efficiency and greenhouse gas emissions reduction strategy of interest to NYSERDA. Although past potential studies have included heat pumps as part of their portfolios of possible measures, they have also taken a “no fuel switching” approach, in which new energy efficient measures use the same fuel as their predecessors. The Residential Building Stock potential study should leverage an approach that would also assess potential for switching from natural gas, petroleum fuels, or wood to heat pumps on an all-fuels efficiency basis. Given this stipulation:
 - o What methodology and metric can be used to compare the value of heat pumps alongside other energy efficiency measures included in the model?
 - o What methods can be used to allow heat pumps to replace end-use equipment currently using other fuels in the study?
 - o Currently, the Short-term Potential Study model allows for a renewable heating and cooling (RH&C) system to replace a piece of equipment utilizing the same fuel as the new system. What, if any, changes will need to be made to the existing model and approach to

⁸ Applicability Factors are the assumed percent of an installed measure category assigned to a level of efficiency within that shared base measure grouping. For example, in the Residential Baseline Study, refrigerators were grouped together as a measure. Within that group, three levels of efficiency were determined: Energy Star, CEE Tier 2, and CEE Tier 3 refrigerators. Each efficiency level was given an applicability factor of 33%, if penetration for each efficiency level would be equal in the market.

accommodate RH&C technologies that utilize a different fuel than the piece of equipment it is replacing?

Where relevant and useful to the analysis, the Contractor should conduct a detailed review of current efficiency program offerings including participation and savings data over the last 5-10 years (depending on what is available) as well as which technologies are available and most often installed through the existing programs. The Contractor should also review other recent potential studies completed in New York State (Con Edison DER Potential Study⁹, Central Hudson Gas & Electric Company Energy Efficiency Potential Study¹⁰, NREL ResStock State Fact Sheets¹¹, etc.) for reference and recommendations.

If necessary, and after receiving approval from NYSERDA, the Contractor may survey key players in the New York energy efficiency market to get their input on estimates of what potential is for various technologies and programs.

Deliverables:

- Draft and final memo assessing NYSERDA's Short-Term Potential Study

Subtask 9b: Complete Updated Potential Study:

After the Contractor has completed their assessment and NYSERDA has completed their review of the memo, the Contractor shall complete the following tasks using the existing resources from the previous potential study with any approved adjustments:

- Using the data collected from the previous tasks, estimate current saturations and penetrations of energy efficiency equipment identified under Subtask 9a for both the new construction and retrofit markets.
- If deemed feasible in Subtask 9a, develop a simplified end-use model of state electricity and fuel and peak demand consumption by sector which can be used to true-up the estimates of technical potential against actual consumption. The utilities may provide sales for the residential sector.
- Assess the maximum technical potential for electricity and fuel over 3, 5, and 10 years using the end-use model developed to help verify the estimate results.
- Estimate the economic potential for energy efficiency resources and the cost required to achieve that potential. The economic potential would be defined as what portion of the technical potential is cost effective and lower cost than supply.
- Using estimates of market size developed from the interviews for this project, past achievements in New York and data from similar programs in other regions, develop estimates of achievable potential under different resource levels (staffing, incentives, marketing, etc.).
- Using the estimates of technical potential by technology, end-use group, or customer segment, develop cost of savings energy curves which identify the magnitude and cost of each measure or groups of similar measures that can be delivered together. These estimates should be developed for 3-, 5-, and 10-year periods.
- Provide a sensitivity analysis of energy efficiency savings to differences in the resource levels (staffing, incentives, marketing, etc.) of energy efficiency programs. This analysis should also attempt to estimate the likely level of achievement of the predicted potential in the absence of programs.

⁹ <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={C4F57E21-A32E-4114-82AE-68897717DB2A}>

¹⁰ <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={E09A3430-EB6E-4D1A-9FC7-1456F9AAD6AA}>

¹¹ <https://resstock.nrel.gov/>

Task 10: Final Report and Presentation

The results and data obtained in the study should be available in an electronic Excel spreadsheet or other format negotiated by NYSERDA and the Contractor (e.g. .sas, .csv, etc.) that can be distributed without any copyright protection. If the Contractor recommends presenting findings in an additional manipulatable format, justification should be provided. The final formatting of data should be approved by NYSERDA before the closeout of the project.

Preliminary findings should be provided to NYSERDA as soon as they are available. The Contract should work with NYSERDA to design relevant data views and visualizations to be included in the draft and final reports. A draft report should be compiled, and a final report should be completed once NYSERDA reviews and provides feedback on the draft. The final report should be presented to NYSERDA staff in person or via a webinar.

Deliverables:

- Draft and final reports describing goals and objectives of the study, activities and methods undertaken, results and analysis of findings for all other tasks.
- Presentation of results to NYSERDA.

Project Schedule

This RFP outlines a major, comprehensive study effort that will take significant time to complete. The Contractor should make their best effort to deliver the final study results no later than January 31, 2019. More aggressive schedules will be given special consideration by NYSERDA if proposers present sufficient evidence that they possess and can dedicate the resources to accomplish the work on the time line proposed and acknowledge the complexities and possible roadblocks that can arise in conducting a study of this magnitude. Proposals should identify dates by which the following major study milestones will be completed.

- Review of Residential Baseline Study
- Review of Existing Data
- Kick-off Meeting
- Finalize Work Plan and Update Study Documentation and Tools
- Sampling Design
- Conduct Interviews with HVAC Equipment Dealers and Installers
- Conduct Telephone or Web-based Survey
- Conduct On-site Surveys
- Residential Potential Study
- Final Report and Presentation

Project Budget

Contractors bidding on this RFP should make sample recommendations for Tasks 3-6, as well as the reasons and benefits for proposing such samples. To evaluate the cost component of each bid, NYSERDA requests that each contractor includes the cost per response for each of the required surveys outlined in the tasks above in their budget.

Proposer Qualifications

As previously discussed, the evaluation work will require the selected Contractor to become familiar with and fully understand the Residential Statewide Baseline Study, breadth and depth of the portfolio of NYSERDA and utility residential initiatives and programs, program or initiative and portfolio interactions and relationships, and utility territories. The selected Contractor should plan on reviewing secondary data sources including the Residential Baseline Study reports that have been conducted for NYSERDA and utility programs. In addition, the selected Contractor will be expected to be aware of other NYSERDA or utility ongoing evaluations (*as notified by NYSERDA or when made public*), be familiar with the New York Evaluation Plan Guidance for EEPs Program Administrators¹², and participate in program evaluation design and coordination activities.

The use of sub-contractors and or teaming arrangements as needed to fulfill the requirements of this RFP is appropriate and encouraged. If a team is proposed, respondents to this RFP must be able to demonstrate that they have or can create a teaming arrangement that is directly applicable and consistent with the evaluation needs of the NYSERDA and this RFP. The primary contractor of the team shall be responsible for maintaining continuous correspondence with NYSERDA and ensuring all deliverables applicable to the contract are provided to NYSERDA according to an approved timeline meeting quality standard.

In addition to the services described above, the following requirements must also be fulfilled by the selected Contractor:

¹²[http://www3.dps.ny.gov/W/PSCWeb.nsf/96f0fec0b45a3c6485257688006a701a/766a83dce56eca35852576da006d79a7/\\$FILE/NY_Eval_Guidance_Aug_2013.pdf](http://www3.dps.ny.gov/W/PSCWeb.nsf/96f0fec0b45a3c6485257688006a701a/766a83dce56eca35852576da006d79a7/$FILE/NY_Eval_Guidance_Aug_2013.pdf)

Energy End Uses/Fuel Type Coverage

- Must demonstrate the expertise or capability to evaluate various types of energy end uses including electric, natural gas, fuel oil, and propane energy efficiency measures, electric demand reduction, on-site generation, and renewable technologies on a statewide scale.

Audience Coverage

- Must demonstrate experience and capability to work with and conduct analysis for a wide-variety of residential end users including, but not limited to, customers/homeowners, renters, and low-income households, as well as residential HVAC contractors.

Technical Support Requirements

- Must demonstrate ability to demonstrate technical expertise, capability to design evaluation plans, and carry out all associated work.
- Must demonstrate expertise in survey and interview guide design and development through an understanding and application of survey design principles related to appropriate wording of survey questions, length of survey, survey structure, etc.
- Must demonstrate expertise in conducting and/or managing on-site inspections.
- Must demonstrate the ability to produce statistically significant methodology design for longitudinal analysis that produces defensible results
- Must demonstrate expertise in appropriate statistical analyses and interpretation of various statistical tests associated with survey or other data
 - o Statistical software expertise with SAS and Tableau is strongly preferred
- Computer software proficiency in MS Excel, MS PowerPoint, MS Word, Tableau, Salesforce, etc.

Contractor's Responsibility

The selected Contractor will be responsible for timely completion of the requirements described the Scope of Work. The selected Contractor must assume the overall responsibility for: coordinating and developing data collection (including field work and surveys), analysis and reporting required by this RFP (whether done by the Contractor or one or more subcontractors); adhering to proposed project budgets; and assuming responsibility for completing the deliverables listed in the Services Requested section of this RFP. To inform program planning, policy design, market transformation, the State Energy Plan, and other programmatic efforts, NYSEERDA requests that the Contractor make their best effort to complete the final report for this study on or before January 31, 2019.

The selected Contractor shall keep NYSEERDA informed either by telephone, in-person meetings, or email, at minimum bi-weekly, on the progress of the Residential Building Stock Assessment. The use of sub-contractors and or teaming arrangements are permitted as needed to fulfill the requirements of this RFP if appropriate. If a team is proposed, respondents to this RFP must be able to demonstrate that they have or can create a teaming arrangement that is directly applicable and consistent with the evaluation needs of this RFP. The primary Contractor of the team shall be responsible for maintaining continuous correspondence with NYSEERDA and the other project collaborators ensuring all deliverables applicable to the contract are provided to the study sponsors according to an approved time-line.

The selected Contractor will meet the following reporting requirements

- The primary contractor of the team shall be responsible for maintaining continuous correspondence with NYSEERDA and ensuring all deliverables applicable to the contract are provided to NYSEERDA according to an approved timeline line meeting quality standards; providing weekly/bi-weekly and/or monthly reporting of all activities pertaining to the contract as determined by NYSEERDA. These status reports shall indicate what specific evaluation efforts are underway, and progress made on those efforts including tracking against the schedule outlined in the detailed evaluation plan and any subsequent work plans. These reports shall also detail any issues or problems that arise, and the Contractor's proposed solution.

- The Contractor shall provide detailed and comprehensive reports on each project and major activity as it is completed. These reports shall provide supporting information that NYSERDA will need to conduct a detailed review of the data, analysis and conclusions.
- The Contractor shall provide site-specific measurement and verification reports.

In any, and all circumstances, evaluation efforts shall be based on the following principles:

- The evaluation process shall ensure objectivity, fairness, and balance in terms of the types of data collected. Only those data deemed necessary for evaluation purposes shall be collected.
- The evaluation shall be based on sound methodology, credible data and analysis, and adhere to the highest professional standards.
- This evaluation shall focus on collecting information necessary to replicate the Residential Baseline Study and conduct comparisons of results, analyzing changes in building stock and associated energy use in the residential sector over time.

In addition, the selected Contractor shall provide all data sets from data collection activities. The structure and delivery of these data sets shall be determined upon further discussion between NYSERDA and the selected Contractor.

NYSERDA's Responsibility

The NYSERDA Project Manager will be responsible for overseeing and managing all tasks undertaken by the selected Contractor, including but not limited to reviewing, commenting and approving tasks and subsequent deliverables; coordinating with stakeholders; promoting coordination between the selected Contractor and NYSERDA's other evaluation contractors; approving invoices promptly; and reviewing and preparing work products for inclusion in NYSERDA's evaluation and status reports. The NYSERDA project manager will also be responsible for facilitating input from other collaborators who may directly benefit from the activities conducted in this study.

Available Funds

Up to \$2 million will be made available to support this project, although substantial consideration will be given in proposal review to cost efficiency and competitiveness.

The total funding available to support the services requested under this RFP and the utility service territories identified for evaluation, at this time, are subject to change based on the needs of NYSERDA, programmatic responsibilities, and regulatory and legislative requirements. Proposers should include all costs associated with this RFP in their bid price.

III. Proposal Requirements

Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Be sure that the individual signing the checklist is authorized to commit the proposer's organization to the proposal as submitted. Proposals that include teaming arrangements must designate one party as the lead contractor. Faxed or emailed copies will not be accepted.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The proposals should not exceed 30 pages, excluding the conflict of interest, cost proposal and appendices. 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:

Proposal Format:

Section 1:	Introduction
Section 2:	Statement of Work/Approach
Section 3:	Management Structure

Section 4:	Qualifications, Experience, and References to Similar Projects
Section 5:	Potential Conflict of Interest
Section 6:	Cost Proposal
Appendices:	Resumes of Key Personnel Summaries of Relevant Work Products Letters of Commitment

RFP 3916 Proposal Checklist

The checklist is attached to this RFP. It must be attached to the final submitted proposal. At least one copy must contain an original signature.

Section 1: Introduction and General Information (2 pages)

Proposers shall summarize their understanding of the objectives and requirements of this RFP. Proposers shall briefly identify key information about their organization and any other organizations that are part of the proposer's team. Proposers shall describe how the organization or team is qualified to perform and complete the services requested under this RFP.

Section 2: Statement of Work/Approach (13 pages)

The Statement of Work must be consistent with the deliverables and schedule outlined in this RFP. Provide a plan of how you will assist NYSERDA in designing and implementing the building stock assessment and potential study evaluation activities outlined in this RFP and a timeline for completing these activities. Provide a general description of how you will assess the building stock and potential of the NYSERDA and utility programs, consistent with the specific items listed in Section II A, through: (1) on-site field work, (2) attribution of energy impacts from a diverse set of programs, and (3) other approaches as applicable. Describe your approach and methodology and define your rationale for both with reference to the range of methods available and how you would choose methods appropriate to each program. Describe the actions you will take to complete each task.

Section 3: Management Structure (2 pages)

Proposers shall identify all team members, including the Principal or Lead contact, who will be responsible for ensuring that all deliverables and ultimate projects are timely and of good quality, as well as a backup lead person should this need arise. Provide a clear description of the roles and responsibilities of each key person in completing the work plan. Provide the names and addresses of subcontractors. Provide an organization chart and discuss how you would structure the team to efficiently and effectively meet the needs of NYSERDA and other project collaborators to conduct this evaluation study covering a broad range of program types, technologies and program geographic regions. Describe how you plan to coordinate the design and implementation of the evaluation activities among all team members/subcontractors and with NYSERDA. Discuss how you would manage and maintain flexibility to accommodate potentially short notification times and tight deadlines.

Section 4: Qualifications, Experience, and References to Similar Projects (5 pages)

Describe specific experience pertaining to this type of building stock assessment and potential study evaluation work. Discuss proposed teaming arrangements, if applicable. State the team's individual and combined expertise that would enable successful completion of the project. List and briefly describe relevant projects that have been completed by the proposer/proposing team. Include specific examples of prior work involving: expert building stock assessment and longitudinal analyses, potential study methodology, data collection including field work, data analysis, reporting of findings as well as interpretations and recommendations related to this work. Indicate which team members were

responsible for each project described along with appropriate credentials. Resumes of all team members shall be provided in an appendix. Indicate the name and telephone number of at least three references for whom your organization, or proposed teaming arrangement if appropriate, has recently completed similar, relevant projects. Summaries of related work products and other supporting materials that demonstrate your ability to complete the work requested in this RFP may be submitted as attachments to your proposal.

Section 5: Potential Conflict of Interest

Identify the nature of any potential conflicts of interest among team members in providing services to NYSERDA under this RFP. Fully discuss possible conflicts of interest, actual and perceived, which could arise in connection with performance by team members of the proposed contract. Describe how your firm would resolve conflicts of interest.

In the event that NYSERDA determines that a team member may have a conflict of interest or the appearance of a conflict of interest, NYSERDA may: (1) take this into consideration in evaluating the proposal; (2) exclude the proposer from consideration for an award; (3) adjust the scope of work to avoid the conflict or appearance of conflict; or (4) negotiate other appropriate actions with the team member to avoid the conflict or appearance of conflict.

Section 6: Cost Proposal

While NYSERDA is making a total of up to \$2 million available to support this project, substantial consideration will be given to cost-efficiency and competitive pricing in the proposal review and scoring.

Using Attachment B- Contract Budget Form and Instructions as a template, submit the name, title, and fully-burdened hourly rate for the project for everyone proposed to perform the work outlined in Section II Project Requirements, Subsection A, Services Requested (including all subcontractor personnel). Use the Contract Budget Form to provide overhead multipliers for the duration of the project.

Attach documentation to support indirect cost (overhead) rate(s) included in your proposal as follows:

1. Describe the basis for the rates proposed (*i.e.*, based on prior period actual results; based on projections; based on federal government or other independently approved rates).
2. If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
3. If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.

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

Additionally, if there are any significant direct costs associated with conducting the on-site field work requested in this RFP, please provide a detailed schedule of those costs in your proposal.

Separate from the Contract Budget Form, proposers should provide an overall cost per task for each task listed in the Services Requested section of this RFP. For Tasks 6-8, proposers should also separately indicate the cost-per-complete for each survey/interview/site visit conducted. The cost should be inclusive of only data collection/data entry, and exclusive of survey instrument development and data analysis. Additionally, separate pricing (total dollar value to complete) should be provided for any tasks or task elements identified as "optional" in this RFP.

Appendices

Materials to be submitted include:

- Resumes of key personnel that will complete the tasks described in “Section II.A: Project Requirements – Services Requested.”
- Summaries of related work products that demonstrate your ability to conduct large scale evaluations demonstrate your capability to perform the tasks that would be identified in such a strategy.
- Letters of Commitment from any subcontractors.

Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below, **listed in order of importance**. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

Responsiveness to the Work Scope of the RFP (baseline requirements for consideration)

- Does the proposer present a sound approach for accomplishing the objectives of this proposal?
- Is there a sound rationale or justification for the proposed approach(es)?
- Is the approach in alignment with best practices and protocols of evaluation/ quantitative research? Does it build upon the prior work of NYSERDA or utilities in this area? Does it present new innovative approaches that could be applied?
- Has the proposer demonstrated a clear understanding of the project goals and objectives?
- Does the proposer appear to have the flexibility to accommodate potentially short notification times and tight deadlines?
- Has the proposer demonstrated a thorough understanding of NYSERDA residential initiatives and utility energy efficiency programs?
- Is there clear evidence that the proposer possesses the capability to conduct large scale evaluations, and present information in clear and concise reports?
- Is the Statement of Work thorough, specific, and consistent with the stated objectives?
- Does the response to the scenario demonstrate a complete and thorough understanding of the project requirements?
- Does the proposal demonstrate that all NYSERDA data security requirements can be met?
- Are all requested documents provided with the proposal?

Comprehensiveness of Approach and Management Plan

- Does the proposer demonstrate the ability to complete all aspects of the project?
- Has the proposer demonstrated the ability to institute appropriate data collection and analysis procedures (including statistical analysis software programs and building energy simulations modeling)?
- Is the project organization, including the staffing plan, clear and well-defined?

- Does the proposer describe a quality control strategy for key project elements such as data collection, data analysis and reporting?
- Does the proposer demonstrate the ability to design and execute a cost-effective incentive plan?
- Does the proposer demonstrate the ability to effectively review, modify, and execute a potential study?
- Does the proposer's approach to the scenario allow for completion of the necessary work, including a robust longitudinal comparison of results, in a timely manner?

Cost

- How cost-effective is the proposal overall?
- Are hourly rates, overhead rates, indirect cost, other cost multipliers, and total hours reasonable and appropriate for the proposer's and subcontractor's personnel completing the tasks?
- Are the proposer's and subcontractor's rates cost effective when compared to comparable proposals?
- Does the proposal demonstrate innovative processes, structure, or methods to reduce evaluation costs?
- Does the proposer offer feasible and innovative processes, structure, or methods which leverage auxiliary data, etc. to improve the quality of the estimates and reduce cost? E.g., use of auxiliary datasets to create small area estimates.

Relevant Experience and Qualifications

- Are key personnel's education and experience relevant to project needs, and does the proposing team have experience in conducting similar evaluation work?
- Is the project staff's overall capability appropriate (evaluation expertise, technical expertise required to conduct site visits, experience creating nested samples, etc.)?
- Does the proposing team have the technical expertise in sampling, self-administered surveys, establishment and household surveys, interview guide and on-site data collection form design as well as statistical software applications?
- What is the quality of the project staff's performance on past projects or their achievements related to the proposed work?
- Does the proposal provide one or two dedicated resource(s) with a range of experience qualifying him/her/them to lead the initiative?
- Does the proposal demonstrate appropriate project management capabilities?

Other.

- Is the proposal well-organized, well-written, and complete?
- Does the proposal offer economic benefits in New York State? (A local office, while not required, would be considered favorably.)
- Do appendices include resumes of key personnel and letters of commitment from subcontractors?

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.

Appendix A

Residential Baseline Study Technical Summary

This document includes a brief overview of the response rates and results of the Residential Baseline Study and can be used as a quick reference in the design of samples sizes and incentive for the Residential Baseline Update. To review the entire methodology of the Residential Baseline Study, please visit NYSERDA's website at: <https://www.nyserda.ny.gov/Residential-Statewide-Baseline-Study-of-New-York-State.aspx>

Overview of Residential Statewide Baseline Study Methodology and Results

Self-reported Telephone and Web-based Surveys

The single-family sample for the Residential Baseline Study telephone and web survey was created by drawing a random sample of residential electric utility accounts provided by each of the electric utilities in New York State. New construction sites were identified by comparing multiple years of final tax assessment rolls from the New York State Department of Taxation and Finance.

In the Residential Baseline Study, 913 phone surveys, 2,034 web surveys, and 35 in-person mini-surveys conducted during on-site inspections we completed for a total of 2,982 responses. Most of these respondents (~90%) had not participated in an energy efficiency program offered by NYSERDA or a utility and had no inherent reason to participate in a survey offered by NYSERDA. To incentivize participation in telephone and web surveys, respondents were provided a \$20 gift card via direct mail after completion.

On-Site Surveys

In the Residential Baseline Study, the single-family surveys were used to recruit homes for on-site data collection based on a purely random sampling strategy with the goal of completing a maximum of 70 on-site inspections per region.

The average on-site inspection time was between 2-3 hours for existing homes and 2.5-4.5 hours for new homes and required participation from the building owner. To incentivize participation in on-site inspections, homeowners received \$100 Amazon gift cards via-direct mail post inspection.

Table 4. Single-Family, Completed On-site Inspections by Construction Timeframe and Climate Zone

Climate Zone	Surveys			On-site Inspections		
	Existing Construction (Before 2012)	New Construction (2012 and After)	Overall Statewide	Existing Construction (Before 2012)	New Construction (2012 and After)	Overall Statewide
Climate zone 4	489	22	511	120	11	131
Climate zone 5	1,021	481	1,502	223	124	347
Climate zone 6	813	156	969	175	47	222
Overall Statewide	2,323	659	2,982	518	182	700

HVAC Contractor Surveys

Heating, ventilation, and air conditioning (HVAC) contractors were identified for telephone surveys through <http://companies.findthebest.com/>. 18,000 contractors were identified within NYS who fit into the

target group for market assessment. A sample was initially selected from each of the three climate zones, with a target of 20 contractors (10 small and 10 large) per climate zone with at least one small and one large in each of the 10 economic development regions. The sample list was pulled manually, starting with counties with the largest populations of residential households. It was found that 20 percent of the large contractors were ineligible for the study. Ineligible businesses included: (a) sold commercial equipment only, (b) did not sell any of the equipment in the HVAC assessment, (c) out of business or retired, or (d) deceased.

Response rates to the survey were about 3.6 percent (19 out of 612). This was attributed to several factors including:

- Limited bandwidth of extremely active contractors
- The length of the interview as thirty minutes or more

Table 21. HVAC Contractor Calling (September 2014) Response Rates

	Climate Zone 4 – Large & Small	Climate Zone 5 – Large & Small	Climate Zone 6 – Large & Small	Overall Statewide
Number of cases attempted	367	124	121	612
New cases not attempted	33	0	0	33
Number of calls made	469	201	402	1,072
Number of emails/faxes sent	13	50	30	93
Cases finalized	244	6	28	278
Completed interviews	11	4	4	19
Completed Interview - partial	0	1	2	3
Hours used	46	24	56	126
Response rate	3.0%	4.0%	5.0%	3.6%

Issues

Despite offering multiple methods for completing the survey and offering a post-paid incentive, the response rates in the residential baseline study varied from approximately 8 to 30 percent by region, with an overall response rate of 13.6 percent. The New York City region had particularly low response rates and although the initial sample was double that of the other regions, it was still necessary to expand the sample before the end of the study.

The response rates experienced were lower than expected given the evaluation contractor's experience achieving 30-50 percent survey response rates in other baseline studies. It was noted that these other baseline studies received a pre-paid incentive instead of a post-paid incentive.

It was also found that despite offering an economic incentive, the acceptance rate for on-site inspections was ~24%, or approximately one-in-four survey respondents asked to participate.

The Residential Building Stock Assessment will target the same populations as the Residential Baseline Study, and it is anticipated that similar issues and behaviors will occur. Again, most of the sample will have no connection to NYSERDA or any inherent reason to participate in a survey delivered by NYSERDA.

It is also anticipated that there will be no major shift in the requirements placed on individuals to complete the survey. Surveys will be of a similar length, and on-site inspections are anticipated to once again take 2-4 hours to complete. There is a clear opportunity cost for homeowners to participate in these activities, especially the on-site inspections.

Table A-3. Single-Family and Tenant Survey Disposition and Response Rate*

	Region										
	Capital District	Central New York	Finger Lakes	Long Island	Mid-Hudson	Mohawk Valley	New York City	North Country	Southern Tier	Western New York	Total
Complete - phone	133	66	96	90	112	104	132	87	128	93	1,041
Complete - Web	312	201	271	159	274	213	245	219	143	248	2,285
Partial	14	1	3	5	7	10	10	5	7	5	67
Refusal	286	200	157	361	309	215	421	151	129	138	2,367
Invalid phone number	139	102	150	405	242	156	486	136	89	126	2,031
Business line	14	9	14	16	22	9	35	15	6	20	160
Language barrier	1	2	2	13	28	4	149	1	0	2	202
Ineligible - deceased or incapable	6	6	3	15	7	7	16	3	0	8	71
No longer living at address	33	15	19	23	21	17	40	26	24	17	235
Active sample - no answer, busy, callback, answering machine	2,145	1,455	1,847	2,057	1,972	1,443	2,272	1,051	370	1,475	16,087
Total	3,083	2,057	2,562	3,144	2,994	2,178	3,806	1,694	896	2,132	24,546
Response rate	14.4%	13%	14.3%	7.9%	12.9%	14.6%	9.9%	18.1%	30.2%	16%	13.6%
Cooperation rate	15.4%	13.9%	15.5%	9.3%	14.4%	16.0%	12.2%	20.2%	34.9%	17.4%	15.2%

* Response rate is calculated by the number of telephone survey and Web completes divided by total sample. Cooperation rate is calculated by the number of telephone and Web survey completes divided by total sample minus invalid phone number, residential line, and ineligible cases.

General Conditions

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

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

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

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

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

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

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

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

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at

http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSERDA anticipates making one award under this solicitation. NYSERDA anticipates a contract duration of one year, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately three (3) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

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

Attachments:

Attachment A - Intent to Propose

Attachment B - Contract Budget Form and Instructions

Attachment C - Sample Agreement



ANDREW M. CUOMO
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

Sitecore CMS Administration and Web Development

Request for Proposal (RFP) 3919

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

Proposals Due: **August 30, 2018 by 3:00 PM Eastern Time***

The New York State Energy Research and Development Authority (NYSERDA) owns and operates an instance of Sitecore CMS to manage its public facing websites (nyserda.ny.gov, greenbank.ny.gov, and energyplan.ny.gov). NYSERDA requires consulting services for developing and maintaining websites within the Sitecore CMS 3-tiered, 3-layer development environment. Proposing contractors must be qualified in, and experienced with, website and database development using Sitecore CMS 8.1 (and higher) and related technologies, as well as configuring and publishing-to load-balanced content-editing and content-publishing Sitecore web servers. The contractor must also be adept at accessible web design, meeting WCAG 2.0 Level AA guidelines in all deliverables.

The selected contractor will be a developer and supplier of Sitecore CMS implementations, applications, and services. The selected contractor will be an organization with significant technical skills and demonstrated Sitecore CMS expertise, as well as being at minimum, a Sitecore Certified Gold Partner.

Proposal Submission: Online submission of proposals is preferable. Proposers may submit Word, Excel, or PDF files. Files may be packaged as a .zip file. Proposal PDFs should be searchable and should be created by direct conversion from the original file-format to PDF format, or through use of a PDF 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 (e.g., Company-Name-Portfolio.pdf, Company-Name-RFP-0000-Proposal.zip). NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), see "**Application Instructions and Portal Training Guide [PDF]**" located at https://portal.nyserda.ny.gov/resource/1493921589000/NYSERDA_Solicitation_User_Guide.

No communication intended to influence this procurement is permitted except by contacting Robert McKeon (Designated Contact) at (518) 862-1090, ext. **3538** or by e-mail at

robert.mckeeon@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Elsyda Sheldon (Designated Contact) at (518) 862-1090, ext. 3232 or elsyda.sheldon@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer, or indirectly through a lobbyist, or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3pm Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3pm Eastern Time, files in process or attempted edits or submission after 3pm Eastern Time on the date above, will not be accepted. Proposers are encouraged to leave enough time to complete submission process prior to 3pm Eastern Time on the date listed above. If changes are made to this solicitation, notification will be posted on the "Current Funding Opportunities" page of NYSERDA's website located, at: <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>

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1. Background

1.1 Corporate Background

NYSERDA is a public benefit corporation committed to identifying opportunities for reducing commercial, industrial, 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 Website System Background

NYSERDA websites utilize a responsive web design that includes Google Maps, Google Analytics, Facebook widgets/buttons, Twitter widgets/buttons, and embedded YouTube videos. NYSERDA currently has 5 Sitecore CMS Content Editors, approximately 5 approvers, and up to 5 workflows. The winning proposer must be an expert in the following technologies:

Environment and tools

- Sitecore.NET 8.1 rev. 160302 /March 02, 2016/
- Web Forms for Marketers 8.1.rev. 151008 /Oct 10, 2015/
- Microsoft .NET Framework 4.5
- IIS 7.5 Web Service with TLS Encryption on Windows Server
- Microsoft SQL Server 2012 SP4 (11.0.7462)
 - o SQL Management Studio 11 / SQL Server Data Tools
 - o SQL Server Profiler 11
 - o DB Engine Tuning Advisor 11
- Visual Studio 2017 Enterprise Edition
- Team Foundation Server 2010 (or similar Source Code Management tool)

Source Code

- T-SQL (2012)
- Microsoft .NET Framework 4.5
- Microsoft C# 5.0
- MVC 5.2
- JavaScript 1.8.1 ECMAScript 5
- jQuery 3.3.1
- jQuery UI 1.12.1
- Bootstrap 3.2.0

- Bootstrap Table 1.10
- Modernizr 2.6.2

Related technologies and services used

- JSON 8.0
- AJAX 4.0
- Lucene.Net 3.0
- Google Map API v3 /plus MarkerWithLabel library
- SQLCLR
- Telerik
- iTextSharp 5.3.4

2. Project Scope and Requirements

2.1 Background

This is anticipated to be a three-year, time and materials contract in which the selected contractor will provide services including but not limited-to: .NET development, database programming and administration, software upgrades, assistance with hardware upgrades, and management and administration of Sitecore CMS and the related 3-tier technology stack, including load-balanced content-editing and publishing servers. The selected contractor will manage the development of website resources including, but not limited to: templates, renderings, layouts, sub-layouts, CSS, accessible 508/WCAG-2.0 Conformance Level AA compliant HTML, end-user accounts, workflows, .NET codebase, SQL codebase. The selected contractor must adhere to software/system development life cycle (SDLC) process while managing website code bases.

The selected contractor must provide, at a minimum, the following services:

- Expert guidance on future web development projects as well as organization and use of Sitecore CMS to provide maximum efficiencies for Sitecore CMS users.
- Guidance and tutorials as needed to Sitecore CMS users for new and existing functionality.
- Guidance on Sitecore related technologies including, but not limited-to: Sitecore Online Marketing Suite (OMS)/Digital Marketing System (DMS), Sitecore Engagement Platform, Sitecore Analytics, Sitecore Email Campaign Manager.
- Architectural updates to Sitecore Solutions and Hosting environments.

2.2 Project Volume and Roles

Based on analysis of past projects, NYSERDA utilized approximately 190 hours' worth of billable time per month over the duration of the previous contract.

In addition to server-side web development services, as needed, the selected contractor will also provide front-end web design services, including user experience design, graphic design, responsive web design, cross-browser/cross-device compatibility, and multimedia design.

It is anticipated that the required skillsets of project requests will fall into the following roles:

Role / Description	Percentage of Requests
Sitecore/C# Developer; Sitecore Admin (Developing new applications, updating existing applications, enhancing/updating templates and renderings, optimizing CMS functionality, workflows, publishing process)	70%
Web-User-Interface / Web-Designer (Accessible/semantic HTML, CSS, graphic design)	20%
System Architect (Optimizing web-hosting/content-publishing architecture, load-balancing)	5%
Other	5%

2.3 Objectives

The objective of this agreement is to establish access to the selected contractor's consulting, programming, and design services for the development, administration, and maintenance of the web applications within the Sitecore CMS environment as set forth in this Statement of Work.

NYSERDA expects this agreement to achieve the following objectives:

- Build a cost-effective technology and design partnership to support NYSERDA's website development efforts.
- Leverage the selected contractor's expertise in Sitecore CMS and Web Development best practices.
- Ensure a timely and efficient turnaround schedule for agreed upon projects.

2.4 Scope/Statement of Work

The scope of work to be performed by the contractor consists of to-be-determined tasks listed in the following functional areas: Microsoft .NET development, database development, Sitecore CMS administration and maintenance, website design and development within the Sitecore CMS environment, software upgrades, and assistance/consultation on hardware upgrades.

The contractor shall be assigned individual tasks with associated functional and design requirements, provided by the NYSERDA Web Operations Project Manager. Each task will be given a time and cost estimate by the selected contractor before work proceeds. The finished products will be reviewed and approved by the NYSERDA Web Operations Project Manager.

The selected contractor will provide a method of submitting functional and design requirements and a method to prioritize projects in queue. Delivered projects will include documentation and screenshots, including but not limited-to: new template fields, sizing of resources/images/media, steps to complete end-result, steps to manage content/functionality.

As the basis for invoicing, the selected contractor will keep an active and up-to-date “Activity Log/Request System” (see [Section 3: Budget and Billing](#)) in an online accessible format to which the NYSERDA Project Manager will submit requests.

All deliverables will meet the following criteria:

- A quality work product, free from material defects in workmanship that will perform as designed and created according to best practices at onset of assignment.
- All new and modified code will remain part of the NYSERDA Sitecore CMS code base, owned by NYSERDA.
- Code will be promoted through the 3-tier environment on (1) an ongoing weekly schedule, and (2) on an as-needed basis.
- Meet NYSERDA accessibility requirements, which align with Level AA compliance to Web Content Accessibility Guidelines (WCAG) 2.0. More information about accessibility requirements at: <https://www.nyserda.ny.gov/-/media/Files/About/Style-Guide/ADA-Accessibility-Requirements.pdf>

2.5 Engagement Requirements

The selected contractor must:

- Be a Sitecore Gold Certified Implementation Partner of three years or more, at minimum.
- Have at least two Sitecore Certified Developers on staff.
- Have at least one Microsoft Certified Solutions Expert on staff.
- Have the ability to scale-up development and design resources as needed for large, high-priority projects needed on an expedited timeline.
- Have the ability to perform hardware and software maintenance/upgrades during non-peak hours to avoid website downtime during high traffic hours.
- Have deployed a minimum of 5 Sitecore web sites (provide URLs), each with a minimum page-count of 500 pages. Include details of these examples in the Portfolio portion of the proposal, as outlined in [Section 4.2 \(Portfolio\)](#).
- Demonstrate a proven track record of providing consulting services across numerous technical projects.
- Not include recruitment or consulting employment services. Submitted personnel must be employees of the firm or a sub-contractor that the firm has used successfully in the past.
- Have experience in engagements with NYSERDA’s existing hardware and software, see [Section 1.2 \(Website System Background\)](#).
- Submit proof that the firm is certified as a Minority or Women-Owned Business Enterprise (M/WBE) with the Empire State Development’s Division of Minority and Women Owned Business Development. If the firm is not an M/WBE, the firm must outline how it plans to

achieve the M/WBE requirement through subcontracting as detailed below in Section 6 General Conditions.

- Upon issuance of a contract from NYSERDA, show evidence of General Liability, Disability and Workers Compensation Insurances. In some instances, Professional Liability insurance may also be required.
- Be willing to work with NYSERDA to minimize costs. NYSERDA reserves the right to negotiate a lower or different fee structure with the selected firm.

NYSERDA retains the right to end an engagement at any time with or without cause.

3. Budget and Billing

This is anticipated to be a 3-year, time and materials contract. The selected contractor and the NYSERDA Web Operations Project Manager will agree on tasks to complete, priority, timeline, and associated budget, as well as any other special conditions required to complete the tasks. Fees for deliverables will be billed monthly for tasks completed within the period covered by the invoice. The NYSERDA Web Operations Project Manager will review all invoices and once approved, will release payment for those tasks. The invoice will then be drawn down from an agreed upon budget.

In addition to the invoice, the contractor will provide an itemized monthly “Activity Log” of tasks and the associated time and costs for each task. Activity Log functionality will include the ability to see the total cost of a specific project across the lifetime of the project. The Activity Log will include:

- Project ID (unique tracking number)
- Project Name (input/supplied-by NYSERDA Web Operations Manager)
- Estimated Duration
- Estimated Billable Amount
- Assigned Resource
- Creation Date
- Start Date
- End Date
- Action Taken (work performed)
- Duration (hours)
- Rate
- Billable Amount
- Category of Work (Enhancement, Bug, Weekly Status Meeting, Meeting, Build, Admin/Project Management)
- Remaining Budget

4. Proposal Content and Format

For the purposes of evaluation, proposals should not be excessively long or submitted in an elaborate format or expensive binders. 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:

- Proposal Section I: Executive Summary
- Proposal Section II: Portfolio
- Proposal Section III: Technical Proposal
- Proposal Section IV: Cost Proposal

4.1 Proposal Section 1: Executive Summary

Limit to 3 pages maximum. In the order listed below, provide a brief description of the firm's:

1. Overall qualifications and areas of expertise,
2. List of previous clients and a minimum of 3 references,
3. Disclose any potential conflicts of interest,
4. Affirmation of understanding and acceptance of [Section 2.5 Engagement Requirements](#)

4.2 Proposal Section II: Portfolio

Limit to 4 pages maximum. Multiple examples can be grouped onto one page. Provide examples of five Sitecore website implementations, three of which should be from within the last three years. In addition, provide up to three discreet Sitecore website projects or applications built. Sitecore website projects or implementations. For each example, in the order listed below, include brief synopsis of:

1. Role in project (Sitecore installation, template creation, information architecture, web design, database design/programming, etc.)
2. Goals accomplished, and strategy taken to accomplish
3. Sitecore features taken advantage of, or custom functionality built
4. Web address (domain-name/URL); date published.

4.3 Proposal Section III: Technical Proposal

Following is a listing of the information required to be provided by the proposer. A technical proposal that does not provide all the information requested below may be subject to rejection.

Provide the information in the same order in which it is requested. Your technical proposal must contain sufficient information to assure NYSERDA of its accuracy.

1. **Outline the approximate number of resources and roles available for contract;** include the resumes of key staff and sub-consultants proposed to provide services to NYSERDA, including partners, principals, and associates. Include description/chart of the firm's organizational structure.
2. **Describe your recommended staffing strategy,** inclusive of on-site, off-site, near-shore, off-shore, and subcontracting resources. Please be explicit about the management and leadership of any subcontracted resources, how they relate to your resources, and how NYSERDA would fit into the picture.
3. **Describe what resources your proposal requires from NYSERDA to be successful.** Be as specific as possible about roles/skills/staff required (e.g. titles, functional or administrative areas, skill sets, project roles, etc.), time/participation expectations of each NYSERDA resource (e.g. 8 hours a week, quarter-time, half-time, full-time, 45 hours total, etc.).
4. **Describe what preparation (whether on NYSERDA's part, or your organization's part, or both organizations working together) needs to occur to hit the ground running at start of contract.** Include all types of preparation.
5. **Describe what you consider to be critical success factors for performing this type of work on-time and on-budget.**
6. **Describe what you consider to be the three biggest recurring risks that projects of these types encounter and how you mitigate those risks.**
7. **Provide a description of the firm's experience providing services as outlined in [Section 2.1 \(Background\)](#).** Provide a description of the firm's approach to providing the scope of services including the monitoring and management of potential work assignments. Include recent relevant project experience to the public and private sector.
8. **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.
9. **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.**
10. **Note any special certifications relevant to this RFP that your firm or proposed staff may possess.**

4.4 Proposal Section IV - 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. Due to the length of this contract and the partnership that needs to be maintained, billing rates should be competitive and economical. Provide billing rates for each of the services on which your firm is proposing. Include the following as applicable, plus any additional roles deemed necessary:

- a. Sitecore Developer
- b. Database Administrator
- c. Front End Developer
- d. Web/UX-Designer
- e. Project Manger
- f. Information Architect
- g. Graphic Artist
- h. Account Representative

2. List all disbursements or other services for which the firm would expect reimbursement.

3. Indicate any reductions from normal billing rates charged other issuers or public entities in New York State.

5. Evaluation of Proposals

5.1 General Selection Process

The selection process will begin with the review and evaluation of each of the written proposals. The purpose of this evaluation process is twofold: (1) to examine the responses for compliance with this RFP and (2) to identify the complying firms that have the highest probability of satisfactorily performing the scope of services at a reasonable cost to NYSERDA. All written proposals will be reviewed and evaluated by a Scoring Committee selected by NYSERDA. The Scoring Committee will score each proposal according to the criteria and scoring process described herein.

5.2 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 all other key personnel proposed to provide the services must be present and participate in the interview. The interview will be evaluated based on 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.

5.3 Proposal Evaluation Process

The Scoring Committee will evaluate the extent to which the proposal meets the requirements as specified in this RFP. Scoring Committee members will independently score each proposal and then meet to discuss the merits and scoring justifications of each proposer. Evaluators will be allowed to revise scores based on the panel discussions.

The evaluation will be conducted in a comprehensive and impartial manner as set forth herein using the following categories.

Step	Evaluation Criteria
1	Satisfactory of completion of requirements of: Section 4.1: Proposal Section I - Executive Summary
2	Satisfactory of completion of requirements of: Section 4.2: Proposal Section II – Portfolio
3	Satisfactory of completion of requirements of: Section 4.3: Proposal Section III – Technical Proposal
4	Satisfactory of completion of requirements of: Section 4.4: Proposal Section IV – Cost Proposal

Step 1: Executive Summary Score

The Executive Summary score will be evaluated relative to each proposer based on the completeness, accuracy, and value of content provided as compared to requirements.

Step 2: Portfolio Score

The Portfolio score will be evaluated relative to each proposer based on use of Sitecore CMS and related platforms and unique features therein, as well as demonstration of custom application development, and use of best-practices based web and software design.

Step 3: Technical Proposal Score

The Technical Proposal score will be evaluated relative to each proposer based on completeness, accuracy, and value of content provided as compared to requirements. Consideration is given for demonstrated skill sets needed to fulfill the requirements of this RFP, particularly of the skills needed to perform the tasks listed in [Section 2.1 \(Background\)](#).

Step 4: Cost Proposal

Cost Proposals will be evaluated relative to each other based on common titles and common staffing scenarios (on shore, off shore, subcontracting). In addition, NYSERDA will utilize both historical rates paid for consulting services when developing the cost proposal score.

Step 5: Final Score, Recommendation, and Board Approval

The Scoring Committee will rank the proposers' final scores in descending order, from highest to lowest score, which will form the basis for the Scoring Committee's award recommendation to NYSERDA Management. It is anticipated that there could be multiple selections depending on the number of qualified proposers.

Any proposer recommended by the Scoring Committee must be approved by the Board of NYSERDA prior to any award under this RFP.

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

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.

6. 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, LOCATED AT <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

New York Executive Law Article 15-A - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in the Sample Agreement.

Diversity Practices - NYSERDA has determined, pursuant to New York State Executive Law Article 15-

A, that the assessment of the diversity practice 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, as described in Section III herein, Attachment C, Diversity Practices Questionnaire.

New York State Executive Law Article 17-B, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected Contractor are set forth in the Sample Agreement.

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

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and

Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

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

Contract Award - NYSERDA anticipates making one award under this solicitation. NYSERDA anticipates a contract duration of three years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 8 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

I. Attachments:

- Attachment A – Sample Agreement
 - Attachment B – Sample Statement of Work
 - Attachment C - Diversity Practices Questionnaire
 - Attachment D - Article 15-A (MWBE) Solicitation Provisions (non-construction)
 - Attachment E - Article 17-B (SDVOB) Solicitation Provisions (non-construction)
-



US Department of Energy Home Energy Score Implementer
Request for Proposal (RFP) 3945

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

Proposals Due: September 26, 2018 by 3:00 PM Eastern Time¹

Proposers must submit a completed Intent to Propose form to NYSERDA
by September 12, 2018.

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals for implementation of the US Department of Energy's Home Energy Score to support several pilot initiatives to encourage the adoption of energy efficiency in existing one-to-four family residential buildings in New York State.

The objective of this RFP is to award a contract to a Home Energy Score Partner to manage on-boarding, training, and mentoring of Home Energy Score Assessors participating in the pilots, perform quality assurance reviews, help market the Home Energy Score in the pilot markets, provide education on Home Energy Score to other relevant market actors in the pilot regions, work with NYSERDA to adjust the pilots as needed to maximize success, and provide reporting to NYSERDA.

Intent to Propose: Proposers must submit a completed Intent to Propose form to NYSERDA by September 12, 2018. Failure to submit a completed Intent to Propose form will disqualify a Proposer's proposal from consideration.

Informational Webinar: NYSERDA will conduct an informational webinar on Friday, August 24, 2018 at 1:00pm EDT during which NYSERDA will review the requirements of this solicitation and answer questions. Proposers who intend to participate must register at:
<https://nyserda.webex.com/nyserda/j.php?RGID=r78b4e27ac36c7db18af083949401dde5>

Questions may be submitted via email to keith.bohling@nyserda.ny.gov prior to the webinar. Proposers will have the opportunity to type-in and ask questions during the webinar as well. NYSERDA will post questions and responses on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>) after the webinar. All questions will be posted anonymously, and NYSERDA's written responses will supersede verbal responses given during the webinar.

¹ **All proposals must be received by 3pm Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3pm Eastern Time. Files in process or attempted edits or submission after 3pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

Proposal Submission:

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

Proposers are encouraged to check the Current Funding Opportunities page throughout the solicitation period. Frequently asked questions may be added or revised during the solicitation period. Look for the **US Department of Energy Home Energy Score Implementer (RFP 3945)** link in the "Current Funding Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting:

Keith Bohling (Designated Contact, Primary Contact)

(518) 862-1090, ext. 3491

keith.bohling@nyserda.ny.gov

or

Laura Geel (Designated Contact, Secondary Contact)

(518) 862-1090, ext.3446

laura.geel@nyserda.ny.gov

If you have contractual questions concerning this solicitation, contact:

Elsyda Sheldon (Designated Contact)

(518) 862-1090, ext. 3232

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

I. Definitions

- **Assessor**
A person trained and qualified to evaluate a home and deliver a Home Energy Score according to United States Department of Energy (DOE) Home Energy Score standards.
- **Contractor**
 1. The entity who will serve as Home Energy Score Partner for NYSERDA's pilot tests.
 2. The party executing this contract with NYSERDA.
- **DOE**
The United States Department of Energy, the owners of the Home Energy Score.
- **QA Provider**
A person trained and qualified to perform a Quality Assurance review of an Assessor's use of Home Energy Score in accordance with US DOE Home Energy Score standards.
- **Go Live Date**
The date when NYSERDA makes Home Energy Score available to homeowners and/or home buyers as part of a pilot test.
- **Home Energy Contractor**
A business that quotes, sells, and performs residential energy efficiency projects using best practices based on building science, as evidenced by appropriate training or certification credentials among its staff.
- **Home Energy Score Partner**
An entity that has been designated as and remains in good standing as a DOE Home Energy Score Partner.
- **Mentor**
A person trained and qualified to provide guidance and coaching to new Assessors in accordance with DOE Home Energy Score standards.
- **Quality (Delivering a rating with a high degree of Quality)**
Repeatable results whereby the Assessor's work materially matches the work that DOE-qualified Mentors and DOE-qualified QA Providers would produce with all other factors being equal.
- **Quality Assurance (QA) Review**
A second assessment of a home and its assets by an DOE-qualified QA Provider, after which the resulting Home Energy Score is compared to the original Score delivered by the original Assessor.
- **Sponsor**
An organization or municipal entity that contracts with a Home Energy Score Partner to provide mentoring, QA, and recordkeeping. For this RFP, NYSERDA is the Sponsor.

II. Introduction

The New York State Energy Research and Development Authority (NYSERDA) is a public benefit corporation established pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York (State). NYSERDA's principal mission is to develop innovative solutions to some of the State's most difficult energy and environmental problems.

The New York State Public Service Commission's (PSC) Order authorizing the Clean Energy Fund Framework (Case 14-M-0094) was issued January 21, 2016, and on December 1, 2017, the Engaging New Markets Initiative was approved (<https://www.nyserdera.ny.gov/-/media/Files/About/Clean-Energy-Fund/CEF-Residential-Chapter.pdf>).

To reduce energy consumption and greenhouse gas emissions from one-to-four family homes, NYSERDA seeks to scale the rate at which residential building owners undertake energy efficiency improvements. To achieve this goal, NYSERDA will seek to increase consumer awareness and understanding of their home's energy performance, and the means to obtain quality installation of energy efficiency improvements, as well as increase the number of contractors providing such services.

Two pilots will test the use of home energy ratings to encourage homeowners to undertake energy efficiency improvements:

Pilot #1:

Homeowners will be provided with third-party home energy performance ratings delivered by Assessors who are employees of home energy contractors. The ratings will include opportunities for improving the home's energy efficiency and therefore its comfort, safety and energy cost performance. The pilot seeks to test the use of home energy ratings as a sales tool and their effectiveness in closing a project sale when delivered by contractors. In Phase 1 of the pilot, the Assessors will be employees of home energy contractors currently participating in, and in good standing with, NYSERDA's Residential Existing Homes program. In Phase 2 of the pilot, adjustments may be made to messaging and materials for consumers, delivery approach, and the pool of Assessors will be expanded to include employees of additional home energy contractors who may or may not already participate in NYSERDA's Program.

Pilot #2:

Licensed home inspectors will be trained as Assessors and will provide home energy ratings while conducting the home inspection on behalf of the potential home buyer. The ratings will include recommendations for improving the home's energy efficiency and therefore comfort, safety and energy cost performance. The pilot seeks to test the use of home energy ratings delivered during home inspections as a means to encourage home energy improvements by the buyer during the first year or two of home ownership. Home buyers will also be provided with information about how they can locate qualified contractors to make improvements. In Phase 2, adjustments may be made in messaging and materials to the consumer, or delivery approach, and additional licensed home inspectors trained as Assessors will be added to the pilot.

Two different home energy rating systems will be piloted, using several different delivery scenarios to determine how best to overcome the trust barrier (where a homeowner may not trust a buy recommendation from a home performance contractor who has something to gain). Each rating system will be piloted in different geographic markets to avoid confusion and to help evaluate each rating systems' impact on the market independently. The DOE's Home Energy Score will be one of the rating systems pilot tested.

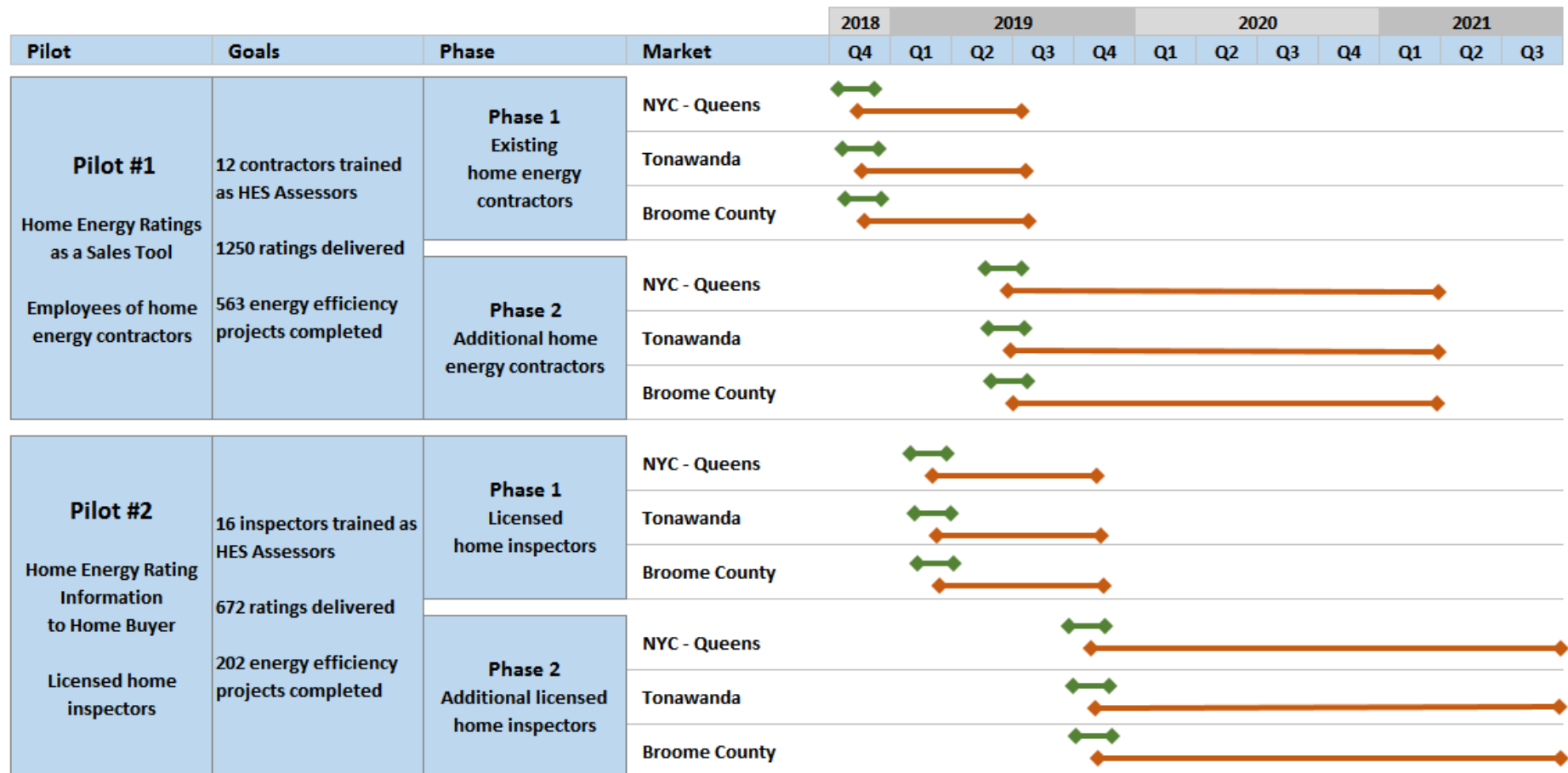
The objective of this RFP is to award a contract to a Home Energy Score Partner. The Partner will:

1. Manage on-boarding, training, and mentoring of Home Energy Score Assessors participating in the pilots
(See Tasks 1 & 2 in the Statement of Work)
2. Perform QA Reviews
(See Task 4 in the Statement of Work)
3. Help market the Home Energy Score in the pilot markets
(See Task 1 in the Statement of Work)
4. Provide education about Home Energy Score to other relevant market actors in the pilot regions
(See Task 1 in the Statement of Work)
5. Work with NYSERDA to adjust the pilots as needed to maximize success
(See Task 7 in the Statement of Work)
6. Provide reporting to NYSERDA
(See Task 5 in the Statement of Work)

Specific information about deliverables and work to be performed by Proposer is included in the accompanying Attachment D - Statement of Work.

The pilots for Home Energy Score are expected to be configured as shown in Figure 1.

Figure 1: Pilot Configuration, Timelines, Goals



Legend

-  Pre-pilot activity period
 Rating delivery period

The budget for the pilots includes a defined quantity of funds to cover the cost of training and for delivering ratings. The funding levels will decrease throughout the course of the pilots. Proposals that can help the pilots achieve market transformation with decreasing incentives will be viewed favorably.

At the conclusion of the pilots, NYSERDA will create a best practices and knowledge transfer toolkit to provide to stakeholders who would like to see home energy ratings delivered in their communities. The pilots are intended to promote market transformation so that home energy ratings will be used to encourage homeowners to undertake energy efficiency work. NYSERDA will provide a process framework that incorporates the lessons learned during the pilots. In this way, a municipality, community, inspector, or contractor has a recipe to follow to independently roll out home energy ratings in their market.

NYSERDA reserves the right to:

- Incorporate Program changes as needed, thus modifying the services outlined
- Add other initiative areas and associated funding consistent with the pilot objectives

III. Requirements and Responsibilities

1. Qualifications

Proposers must meet all the following minimum qualifications:

- Must be an approved US DOE Home Energy Score Partner or have applied and are expecting to be approved as a Partner by the time this contract is awarded
- Possess staff, or partners with staff, who are certified as DOE Home Energy Score Mentors
- Possess staff, or partners with staff, who are certified as DOE Home Energy Score QA Providers

Proposers are expected to meet these qualifications:

- Must demonstrate an understanding of the goals and objectives of the Clean Energy Fund (<https://www.nyserdera.ny.gov/About/Clean-Energy-Fund>) and NYSERDA's mission (<https://www.nyserdera.ny.gov/About>)
- Possess staff, or partners with staff, with an understanding of fundamental building science principles and the residential energy efficiency market
- Able to deliver QA Reviews, provide feedback to Assessors, track and report on QA activity
- Able to provide reporting and invoicing
- Able to develop a data feed connection to feed pilot data to NYSERDA
- Able to supply all required services while complying with NYS and NYSERDA data security policies
- Able to collaborate with NYSERDA to drive continuous process improvements and cost reductions over time

NOTE:

Teaming arrangements are encouraged if a Proposer does not possess all of the staff, systems, or experience to supply the services described herein. If a Proposer includes a partnering arrangement with third parties in their proposal, the Proposer will retain sole responsibility for successful completion of the contract.

2. Scope of Services to be Provided

- See Attachment D – Statement of Work

3. Contract Term

The contract will be for a period of 36 months and cover two pilots, each in multiple markets per Figure 1.

The contractor shall not proceed to Phase 2 of either pilot until the NYSERDA Project Manager provides a Notice to Proceed.

4. NYSERDA's Roles and Responsibilities

- Provide a NYSERDA point person to provide details and support for the pilots.
- Select pilot markets compatible with NYSERDA's objectives.
- Review and approve or decline each pilot Assessor's application to participate in the NYSERDA pilot.
- Coordinate and lead pilot launch and stakeholder education in each market area.
- Coordinate the data flow setup and testing between the Proposer and NYSERDA.
- Provide review and testing of deliverables in a timely manner.
- Provide reimbursement for initial training costs and rating delivery (note that reimbursements decline through the course of the pilots to gauge market demand and self-sustainability).

IV. Budget

A budget of \$500,000 was adopted for planning purposes and should be considered in the preparation of the proposal, statement of work, and budget. Proposers are expected to provide a breakdown of staff and other costs required to fulfill the tasks of this solicitation. Proposers are expected to identify opportunities for cost savings and efficiencies to provide the most cost-effective services to the Program and New York State ratepayers.

V. Proposal Requirements

Proposers must submit a completed Intent to Propose form to NYSERDA by September 12, 2018. Failure to submit a completed Intent to Propose form will disqualify a Proposer's proposal from consideration.

Proposals should not be excessively long or submitted in an elaborate format. Unnecessary attachments beyond those sufficient to present a clear and complete 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.

Faxed or e-mailed proposals will not be accepted.

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

The proposal must be organized into the following sections:

- 1. Introduction and General Information**
- 2. Description of Capabilities**
- 3. Statement of Work (See Attachment D)**
- 4. Examples of Similar Work**
- 5. Project Personnel**
- 6. Data Exchange Capabilities and Options**
- 7. Budget/Rates (See Attachment E)**

1. Introduction and General Information (Up to 2 pages)

Proposers must include the following information about their organization and any partners in their response:

- Firm or organization name, address, telephone and fax number, e-mail address, website URL, and primary contact person
- A list of proposer's office location(s) that would support the proposal. If the proposer plans to establish an office or offices to support their proposal, details should be provided about the location and timeline of those plans
- Year firm or organization was established
- Name and address of parent company (if applicable)
- Key information about their organization, their services, and qualifications
- Date certified as a DOE Home Energy Score Partner (or expected date if not yet certified)
- Financial reports or links to financial reports (submit as an appendix)
- Copy of Home Energy Score Partner application as approved (submit as an appendix)

2. Description of Capabilities and Execution Strategy (Up to 6 pages)

Proposers should provide detailed information about their proposed work product and services, along with those of any partners included in the proposal, and how they meet the requirements listed in this RFP. Discussion of proposer's rationale and strategy should be included.

Related to both systems and staff, proposers should articulate if each of the needs can be met with current systems and staff or whether capacity build-out is necessary. Details should be included about whether the proposer currently delivers that functionality to other clients and whether the proposer would need to build out systems, staff, and/or processes. If additional systems, staff, and/or processes are needed, proposer should detail their plans to add that capacity including timeline.

Proposers should describe what tool(s) they intend to support for data entry to generate a Home Energy Score and the report. Proposers are encouraged to consider this response in light of the following:

- Pilot 1 phase 1 engages Home Energy Contractors that are already partnered with NYSERDA and already using an energy audit or modeling tool.
- Pilot 1 phase 2 engages Home Energy Contractors that are not partnered with NYSERDA and may or may not have a preferred energy audit/modeling tool.
- Pilot 2 engages Home Inspectors, most of whom won't have experience with energy audit/modeling tools.
- NYSERDA has collected market research about the Home Energy Score report and desires to customize the report output to best support the goals of the pilot including encouraging homeowners to undertake energy efficiency improvements. See Task 3 in Attachment D – Statement of Work.

Proposer should describe how they plan to support a geographically dispersed pilot (with activity taking place in Queens, Broome County, and Tonawanda) with respect to training, mentoring, and QA Reviews.

Proposers are encouraged to include best practices that they can implement for the pilots. For example:

- Training and supporting Assessors' use of the Assessor Calculator
- How to incorporate relevant information from DOE's "[Home Energy Score Scoring Methodology; February 2017](#)" into homeowner education and deliverables to encourage homeowners to undertake energy efficiency improvements.

Proposers are encouraged to propose solutions that are cost effective, simple to use for all parties, and collect all relevant data while encouraging energy efficiency improvements.

If the Proposer will be reviewing any scores using Desktop Quality Assurance or conducting Remote Mentoring, then a copy of the Proposer's Remote Service Provider Implementation Plan, as approved by DOE, must be included in the proposal packet (submit as an appendix).

3. Statement of Work

Proposers should clearly articulate their execution strategy consistent with the requested tasks and deliverables outlined in Attachment D – Statement of Work.

Attachment D – Statement of Work is a Microsoft Word document with Track Changes enabled. Proposers should edit the Statement of Work to reflect their committed deliverables to meet NYSERDA's needs. Italicized notes within the Statement of Work identify places where the Proposer must insert text to reflect their proposed work. Proposers can edit any text and insert text to clearly articulate their committed scope of work. If a proposal is selected for contract award, then it is expected that the Statement of Work delivered as part of the proposal will be executed as part of the contract with little revision.

4. Examples of Similar Work (Up to 6 pages)

Proposers should describe their experience supporting similar projects or programs.

For each example, an abbreviated scope of work, budget, and results must be included to demonstrate the similarity, execution strategy, and outcomes of previous work. Proposers should indicate personnel involved in those projects that will also perform work under their NYSERDA proposal.

To the extent that it does not conflict with privacy or non-disclosure terms, provide a description of services provided as a Home Energy Score Partner to other programs. This should include an overview of:

- Marketing
- Assessor recruitment
- Assessor training
- Assessor certification
- QA of Assessor ratings
- Data mechanism and content for reporting back to the sponsor.
- If applicable, document successes with converting Home Energy Scores to energy efficiency work contracted by homeowners.

For each item above, indicate a description of the work performed and the outcomes as well as the percent of the work self-performed by Proposer and/or performed by a sub-contractor of the Proposer.

If applicable, proposers are encouraged to include experience with programs that used decreasing levels of incentives or no incentives.

At least two (2) references that address the proposer's experience and performance in providing products and services comparable to those being requested in this RFP should also be included. Please include contact information for each reference.

5. Project Personnel (Up to 4 pages)

The proposer should describe the qualifications (skills and abilities), experience (including years of experience), and proposed responsibilities of each of the key persons to be utilized in the execution of the Statement of Work, including sub-contractor personnel. An organization chart showing the relationships among all personnel should also be included. A primary contact for NYSERDA should be identified.

If any of the proposal deliverables will be performed by sub-contractors, the proposal must:

- Identify all workflows that involve a sub-contractor
- Identify which sub-contractor(s) will perform the work.
- Detail the quality control and quality assurance that will be performed to provide oversight of the sub-contractor
- Detail what data and/or tracking systems the sub-contractor uses and/or provides

If any of the Proposer's and/or sub-contractor's staff have previously been employed by NYSERDA, they must be identified as such in the proposal.

6. Data Collection and Exchange (Up to 2 pages)

Proposers should detail capabilities to collect Home Energy Score, Assessor, energy performance improvement recommendations, and quality review data from DOE and Assessors. Proposers should provide detail about the Assessor data entry workload and what data will be automatically populated. If applicable, Proposers should include information about other programs where they have collected and transferred data to a program Sponsor.

7. Budget/Rates (Attachment E and up to 2 pages of written details)

The Proposer selected under this solicitation will be awarded a contract for a three-year term. Responders should provide rates for services to be provided for the three-year contract period. Any anticipated year over year price changes for the duration of the contract with NYSERDA should be identified.

Proposers must clearly articulate the cost structure of their products and services by completing Attachment E – Budget/Project Personnel Rate Sheet. The line item cost categories listed in the attachment are suggestions and may be edited by the Proposer. The overall structure of the spreadsheet cannot be modified other than the addition or subtraction of rows to accommodate Proposer's line items.

Proposers are also offered the opportunity to convey an alternative staffing / pricing model based upon their understanding of this RFP.

Preference will be given to proposers that can demonstrate the lowest "all in" cost to NYSERDA while providing the highest quality solution. Documented cost-sharing with an investment on the part of the proposer will be viewed favorably when evaluating proposals.

VI. Proposal Evaluation

The award selection process contains multiple steps including an initial eligibility review and ranking by a scoring committee.

Initial Eligibility Review

Verification that all required proposal elements are included and that the Proposer meets minimum qualifications.

Scoring Committee

Proposals that pass the Initial Eligibility Review will be reviewed by a scoring committee consisting of NYSERDA staff and selected outside reviewers using the evaluation criteria listed below (listed in descending order of importance):

- Relevant Experience
 - Specific examples that demonstrate experience with similar programs
 - Documented results aligned with pilot objectives
 - References aligned with documented skills and experience.
- Execution
 - Strategy linked to the RFP objectives
 - Capacity to deliver solutions meeting NYSERDA's needs in a timely manner
 - Clear understanding and ability to customize Home Energy Score report
 - Ability to implement continuous improvement
- Cost
 - Comprehensive, clear budget
 - Cost relative to industry
 - Budget value relative to proposer's experience and prior results
- System Capabilities
 - Tracking and reporting deliverables aligned with RFP requirements
 - Data transfer aligned with NYSERDA's needs
 - Ease of NYSERDA implementation of proposed data transfer
 - Data and transfer security alignment with NYSERDA requirements
 - Relevant screen captures or demonstration of system capability included
- Staffing
 - Staffing plan clarity
 - Teaming/sub-contractor relationships clear (if applicable)
 - Organizational chart provides clear picture
 - Personnel qualifications, EE experience, building science, and industry experience
- Cost Sharing
 - Investment on the part of the proposer
 - Proposal value beyond NYSERDA's investment
- MWBE or SDVOB
 - New York State-certified Minority or Women-owned Business Enterprise (MWBE) or a certified service-disabled veteran-owned business enterprise (SDVOB).

Program Policy Factors

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

- The degree to which the proposal is likely to lead to increased employment in New York State.
- The degree to which the proposal directly addresses NYSERDA's goal of market transformation.
- Prior experience that NYSERDA has had working with the Proposer.
- The degree to which there are technical, market or organizational risks associated with the proposal.

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. Proposals should be clear and complete and not rely on a possible interview to demonstrate the merits of the proposal.

VII. GENERAL CONDITIONS

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

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

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

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

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

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

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

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether

the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

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

Contract Award - NYSERDA anticipates making one award under this solicitation. NYSERDA anticipates a contract duration of three (3) years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify Proposers approximately (4) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

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

VIII. Attachments:

- Attachment A – Sample Agreement
- Attachment B – Statement of Work
- Attachment C – Budget/Project Personnel Rate Sheet
- Attachment D – NYSERDA Home Energy Score Report Requirements
- Attachment E – Invoice Sample
- Attachment F – Intent to Propose Form



ANDREW M. CUOMO
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

Charge Ready NY Equipment and Network Qualification Process Request for Qualifications (RFQL) 3902

Applications accepted through December 31, 2021 by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is issuing this RFQL solicitation to establish a list of qualified Level 2 electric vehicle (EV) charging equipment and networks that will be eligible for incentives under the upcoming Charge Ready NY Program (Program). Under the Program, interested site owners will be able to receive incentives for the installation of qualified charging equipment. Charging station vendors will submit applications to qualify one or more models of charging equipment. Charging network operators will submit applications to have information about their network, and which charging equipment it is compatible with, listed as part of program materials. Information about approved equipment models and network solutions will be listed on the NYSERDA webpage for prospective charging station owners to view. Qualifying equipment must meet the program requirements described below.

Submissions will be accepted on a rolling basis until December 31, 2021 or until the Program closes. Vendors may submit applications for as many different equipment models or network solutions as they choose.

Application Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](#) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting David McCabe (Designated Contact) at (518) 862-1090, ext. 3281 or by e-mail david.mccabe@nyserdera.ny.gov or Adam Ruder (Designated Contact) at (518) 862-1090, ext. 3411 or by e-mail adam.ruder@nyserdera.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@nyserdera.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

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

I. Introduction

As part of his Charge NY 2.0 initiative, announced in January 2018, Governor Andrew M. Cuomo set a goal of having 10,000 EV charging stations operational in New York State by 2021, a five-fold increase over the current 2,000 charging stations in operation. NYSERDA seeks to accelerate charging station installations and adoption by offering incentives to entities that purchase and install charging stations at publicly accessible parking facilities, workplaces, and multifamily buildings. This incentive program, the Charge Ready NY Program (Program), will launch in 2018, and will initially focus exclusively on the purchase and installation of AC Level 2 charging stations, which supply power to EVs at 208 to 240 Volts AC, at the above types of locations. It does not cover the purchase and installation of private home-use charging stations. NYSERDA may offer future programs focused on DC fast chargers as well.

To facilitate the operation of this program and to help simplify the purchasing process for prospective station owners, NYSERDA is issuing this solicitation to establish a list of qualified Level 2 EV charging equipment and networks that will be eligible for incentives under the Program. Charging station vendors can submit applications to qualify one or more models of charging equipment. Charging network operators can submit applications to have information about their network, and which charging equipment it is compatible with, listed as part of the program materials. Information about approved equipment models and network solutions will be listed on the NYSERDA webpage for prospective charging station owners to view. Qualifying equipment must meet the program requirements described below.

NYSERDA intends to also offer an opportunity for prospective station owners to submit information about their site and express interest in being contacted by charging station vendors. Qualified vendors will be able to receive information about prospective station owners who choose to share their contact information.

Submissions will be accepted on a rolling basis until December 31, 2021 or until the Program closes. Vendors may submit as many different equipment models or network solutions as they choose.

II. Program Requirements

Eligible charging equipment must meet the following requirements:

All Charging Equipment

- The equipment must be a charging system intended to provide AC power to an electric vehicle equipped with an onboard charger unit. Wireless charging equipment may provide DC power directly to an electric vehicle.
- The equipment must be intended to be supplied by a branch circuit of up to 600 volts.
- The equipment must have a rated power of 7.2kW (30A) or higher
- The equipment must be intended for installation following the National Electric Code (ANSI/NFPA 70) and be indoor/outdoor rated.
- The equipment must be new and designed to pass inspection according to the National Electrical Code, Article 625. The equipment must be certified by a National Recognized Testing Laboratory (for example, UL category FFWA).

- Both single and dual charging stations are eligible. Single charging stations are stations that have a single charging port originating from a single pedestal, pole-mount, or wall-mount; dual charging stations are stations that have two charging ports originating from a single pedestal, pole-mount or wall-mount. For program purposes, single charging stations will be eligible for an incentive payment for one charging port and dual charging stations will be eligible for an incentive payment for two charging ports.
- Publicly accessible stations and workplace charging stations must be networked stations. Stations for multifamily dwellings may be networked or non-networked.
- Networked equipment must be capable of collecting data on electricity dispensed and number of charging events from each port and providing this information directly to NYSEERDA, either through automated recurring emails or through password-protected access to station management software that allows NYSEERDA limited administrative access to energy use reports.
- Equipment must use no more than 10 Watts of power per port when not connected to a vehicle.
- Equipment to be installed in public-access sites must be able to provide charging to any driver, regardless of whether they are a network member. If payment is required, the equipment must accept payment by credit card, although it may also accept payment through other methods. These requirements do not apply to equipment to be installed in workplaces or multifamily buildings, which may restrict access to employees or residents.
- Charging equipment and all accessories must be backed with a warranty of 24 months or longer. The warranty period should start the day that the equipment is installed and ready for use.
- Applicants must complete a Charging Equipment Qualification Worksheet (**Attachment A**), listing each separate model on its own row of the workbook.

Wired Charging Equipment

- Wired equipment should include only connectors that are SAE-J1772 standard compliant
- Wired equipment should include a cable management system:
 - o The charging equipment must include a holster or similar feature for the connector to protect the connector from the elements and help keep it off the ground. If connector holsters or similar features are not integrated as part of the equipment, they must be offered as accessories.
 - o Either as an integrated feature of the equipment or as an accessory, charging equipment must include a cable management system that helps keep the cable off the ground, such as a cable retraction system or cable cradle.

Wireless Charging Equipment

- NYSEERDA intends to include commercially available wireless power transfer (WPT) systems in the program once there is a valid Underwriters Laboratory (UL) or similar approval for these systems to be installed in public settings and at least one wireless charging equipment has been approved for public installation.

The following elements are recommended, but not currently required. NYSEERDA intends to make them a requirement at a future date, as described below.

- It is recommended that networked equipment use an open standard protocol as a basic framework for purposes of network interoperability and communication with back-end network services providers. The most common open protocol is Open Charge Point Protocol (OCPP). Vendors will be asked whether their system uses an open standard protocol. As of program launch, this is not a required element, but may become a required element when NYSEERDA is better able to confirm equipment compliance with open standard protocols.
- It is recommended that charging equipment meet Energy Star certification standards. As of program launch, only two manufacturers' equipment has been certified to meet the standards. At the earlier of a) such a date that five or more manufacturers' equipment has been certified to meet Energy Star standards, or b) October 1, 2019, NYSEERDA will begin requiring that all equipment be Energy Star certified.

Eligible charging network applicants must meet the following requirements:

- Charging networks must be able to operate on one or more models of eligible charging station equipment.
- Charging networks must allow equipment owners to set pricing for their stations, accept payment for use via credit card (accepting multiple forms of payment is encouraged), and provide data to equipment owners on station electricity dispensed and number of charging events.
- Charging networks must be able to provide access to charging station data to NYSERDA directly, with the equipment owner/network customer's permission.
- Charging networks must provide an OpenADR 2.0 Virtual End Node (VEN) for utility demand response integration, unless the equipment is not tied to the electric grid (such as some solar PV-powered charging equipment).
- Applicants must complete a Charging Network Qualification Worksheet (**Attachment B**).

Any charging equipment manufacturer or charging network provider is eligible to apply for the appropriate qualification. Charging equipment manufacturers should list authorized New York State distributors and third-party vendors of their equipment for New York State, including contact information, in Attachment A. Applicants should include themselves in this list if they sell their equipment directly to end users. Potential equipment purchasers will be encouraged to contact the vendors and installers listed to obtain complete quotes. NYSERDA will list these entities on its website to help direct potential purchasers to appropriate purchasing channels.

III. Application Requirements

Applicants should submit completed applications according to NYSERDA's proposal submission procedures outlined on the cover page of the RFQL. The following documentation is required to be submitted as part of a complete application:

- Charging Equipment Applications:
 - o Charging Equipment Qualification Worksheet (**Attachment A**)
 - o Cut sheet for each model of charging equipment
- Charging Network Applications:
 - o Charging Network Qualification Worksheet (**Attachment B**)

Vendors may include multiple models or types of equipment/networks in a single worksheet, listing each on its own column of the worksheet. Equipment applicants must also submit a cut sheet for each model of charging equipment they are applying to qualify for the Program. Applicants may also submit lists of distributors in New York State, including contact information and counties served (if applicable) for each.

Applications will be reviewed for compliance with all program requirements listed in Section II. If NYSERDA has questions about whether equipment meets a particular requirement, it will contact the applicant for more information. Equipment and networks that do not meet all requirements will not be eligible for inclusion in the Program.

Applications will be accepted and reviewed on a rolling basis. Applicants will be notified within 30 days whether their equipment or network application has been accepted, if NYSERDA requires further information, or if the application has been denied. If it denies an application, NYSERDA will indicate the requirements that were not satisfactorily met. Applicants whose equipment or network applications are denied may resubmit applications with updated information that demonstrates that the deficient requirements have been met.

Applicants wishing to update the information about qualified equipment that has previously been accepted as qualified by NYSERDA (for instance, if a new model replaces an older version) must submit a new application indicating that it is an update to a prior accepted application and must provide all required documentation for the new equipment. Information about each model may not be updated more than once every three months.

IV. GENERAL CONDITIONS

GENERAL CONDITIONS

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

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

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

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to

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

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

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

V. Attachments:

Attachment A – Charging Equipment Qualification Worksheet
Attachment B – Charging Network Qualification Worksheet



Large Scale Renewables Independent Evaluators Request for Qualifications (RFQL) 3926

Proposals Due: September 11, 2018 by 3:00 PM Eastern Time¹

The New York State Energy Research and Development Authority (NYSERDA) seeks to establish a pool of individuals who possess proficiency and technical expertise in the evaluation of large scale renewable energy generation projects. The pool of Independent Evaluators established through this solicitation will assist NYSERDA with distinct, time-sensitive evaluations for NYSERDA's large scale renewable energy solicitations.

The pool of contractors will be available for NYSERDA's use in Technical Evaluation Panels (TEPs) for renewable solicitations such as:

- [Solicitations for Tier 1 Renewable Energy Credits \(RECs\)](#) to be conducted by NYSERDA at least annually under New York's Renewable Energy Standard (RES);
- Future [solicitations](#) for [offshore wind](#), including initial solicitations which are anticipated to be issued under New York's Offshore Wind Standard in 2018; and
- Solicitations for other large scale renewable resources aimed at meeting New York's [Clean Energy Standard](#) mandate.

Independent Evaluators selected under this solicitation will demonstrate high-quality analytical and technical expertise, and will be required to thoroughly complete assignments within firm deadlines. This will require a breadth of experience and expertise in many aspects of renewable energy project development, construction, and operation including, but not limited to: project proposal, financing, construction, permitting, interconnection, supply chain, risk assessment, technical analysis, and analytical modeling. NYSERDA seeks qualified Independent Evaluators with expertise in one or more of the following areas:

- A. Energy System and Market Planning/Analysis
- B. Renewable Energy Generation
- C. Solicitations
- D. Project Economics and Financing
- E. Project Viability
- F. Interconnection and Transmission Needs

Proposers must demonstrate the necessary technical and market expertise to assist NYSERDA in the evaluation of renewable solicitations. Proposers should clearly identify which area or areas (A-F) the proposal is intended to address.

¹ 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. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserra.ny.gov/FundingOpportunities/Current-Funding-Opportunities.aspx>

The Independent Evaluators must be independent of NYSERDA and independent of potential respondents to NYSERDA's renewable solicitations. In addition, Independent Evaluators must be without conflict during the period beginning with the issuance of each solicitation and the completion of the associated evaluation process. The Independent Evaluator must be experienced and competent to perform all Independent Evaluator tasks. The expected start date for work under this solicitation is November 2018.

NYSERDA anticipates entering into Umbrella Agreements with multiple Proposers. Work will be issued to Independent Evaluators through the process described in Section V.

On **Thursday, July 26, 2018 at 3 p.m. ET**, NYSERDA will hold a [Proposers' Webinar](#) to provide guidance and instructions for submitting proposals (see Section II below).

Proposal Submission:

Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the Proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](#) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Michele Goyette at (518) 862-1090, ext. 3506 or michele.goyette@nyserda.ny.gov (Primary Contact) or Liz Hanna at (518) 862-1090, ext. 3358 or liz.hanna@nyserda.ny.gov (Alternate Contact). Contractual questions concerning the Standard Umbrella Agreement should be directed to Nancy Marucci, (518) 862-1090 ext. 3335, nancy.marucci@nyserda.ny.gov (Designated Contact). Contacting anyone other than the Designated Contacts (either directly by the Proposer or indirectly through a lobbyist or other person acting on the Proposer's behalf) to influence the procurement: (1) may result in a Proposer being deemed a non-responsive offeror and (2) may result in the Proposer not being awarded a contract.

I. Introduction

Independent evaluators may be requested to work in one or both of the following program areas:

RES Solicitations. NYSERDA's role as the Central Administrator of the RES program was authorized by the Public Service Commission (PSC) [Order Adopting a Clean Energy Standard](#), issued and effective August 1, 2016. In the Order, the PSC required NYSERDA to, at least annually, conduct solicitations for Tier 1 RECs toward minimum procurement targets. The evaluation methodology established by the PSC for these solicitations employs a scoring system comprised of four evaluation components totaling 100 points:

- 1) Incremental Economic Benefits: 10 points
- 2) Project Viability: 10 Points
- 3) Operational Flexibility and Peak Coincidence: 10 Points
- 4) Bid Price: 70 Points

Pursuant to the [February 22, 2017 PSC Order](#) Approving the Phase 1 Implementation Plan and the subsequent [Final Phase 1 Implementation Plan](#), a TEP consisting of NYSERDA staff, DPS Staff, and Independent Evaluators will evaluate and award points for the non-price evaluation components of each Bid Proposal. The Bid Price evaluation will be conducted by NYSERDA. Following the development of a preliminary rank order of bid facilities, NYSERDA and DPS, in consultation with the TEP, will then consider whether to apply up to three (3) Portfolio Risk Assessment factors before making a final award group recommendation.

The [RESRFP18-1 summary](#) provides additional detail on NYSERDA's specific evaluation criteria and process for the 2018 RES solicitation. These evaluation criteria and approaches may be modified from time to time in subsequent solicitations.

Offshore Wind. In support of Governor Cuomo's directive for the State to install 2,400 megawatts of offshore wind energy by 2030, NYSERDA released the [New York Offshore Wind Master Plan](#) in January 2018, and concurrently, an [Offshore Wind Policy Options Paper](#), to assess policy decisions needed to meet a first phase of solicitations totaling at least 800 megawatts toward New York's offshore wind deployment goal. On April 11, 2018, the PSC issued a [Notice Soliciting Comments](#) in [Case 18-E-0071](#) (In the Matter of Offshore Wind Energy) regarding the adoption of a regulatory program for a first phase of offshore wind solicitations. Through this proceeding, on July 12, 2018, the PSC issued an [Order](#) authorizing NYSERDA to conduct a first phase of offshore wind solicitations in the fourth quarter of 2018. Successful Proposers to RFQL 3926 may be called upon as Independent Evaluators in the Technical Evaluation Panel for these and future offshore wind solicitations issued by NYSERDA.

II. Proposers' Webinar

NYSERDA will conduct a Proposers' Webinar on **Thursday, July 26, 2018 at 3:00 p.m. ET** to review the submission process and provide a general overview of the RFQL. Click [here](#) to register for this webinar.

Webinar:	RFQL 3926 – Independent Evaluators
Date and Time:	Thursday, July 26, 2018, 3:00 p.m. ET
Registration URL:	https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=edfb671afb7744e79045a406b99a9f0ad
Event number:	662 122 267
Event password:	2018 IE
Audio conference:	+1-415-655-0001
Access code:	662 122 267

Proposers are encouraged to submit written questions prior to the webinar to res@nyserda.ny.gov, and include “Independent Evaluator RFQL Question” in the subject line. Following the webinar, NYSERDA may post a listing of frequently asked questions with responses on this RFQL’s webpage. Should a posting be available, NYSERDA will post all questions anonymously and NYSERDA’s written responses will supersede any responses given during the Proposers’ Webinar.

Proposals Due: September 11, 2018 by 3:00 PM Eastern Time. See section VI for instructions.

III. Requirements

Proposers are invited to submit, in the format described in Section VI, a proposal describing their skills, expertise, qualifications, and rates.

- 1) Proposer shall be experienced and competent to perform all Independent Evaluator functions. Proposers should have at least 15 years of relevant experience in one or more areas identified in Section IV. Experience and Capabilities.
- 2) Proposer must be free of known conflicts of interest at the time of their submission.
- 3) Proposer should demonstrate experience and competence related to the acquisition, procurement, and contracting of renewable energy resources.
- 4) Proposer shall possess technical expertise in terms of evaluating capacity, energy, and other electricity-related products.
- 5) Proposer shall be familiar with relevant industry practices, various standard contracts, and the New York regulatory framework.
- 6) Proposer shall be able to diligently and expeditiously examine and evaluate the reasonableness of responsive bids.
- 7) Proposer shall be able self-supply hardware and software necessary to perform Independent Evaluator duties, such as a laptop computer with a wireless connection and a typical business suite of products (for example, Microsoft Word, Excel, Powerpoint).

IV. Experience and Capabilities

NYSERDA is seeking Independent Evaluators that can demonstrate material experience and capabilities in one or more of the following Areas. While an Independent Evaluator need not have experience and capabilities in every Area, depth and breadth of experience will be key indicators of a qualified Independent Evaluator candidate.

A. Energy System & Market Planning/Analysis

- 1) Professional expertise and experience directly related to:
 - a) Utility resource planning and/or portfolio optimization;
 - b) Renewable generation project management;
 - c) Interconnection processes and energy delivery requirements;
 - d) Evaluation of proposed new electrical generation facilities; and
 - e) Review or negotiation of power purchase, bundled, or REC-only agreements.
- 2) Familiarity and experience with:
 - a) Standards and industry practices relating to energy generation projects and processes (e.g. renewable, conventional, combined heat and power, qualifying facilities, energy storage, resource adequacy, greenhouse gas compliance and products, and natural gas, conventional); and
 - b) Electricity regulatory proceedings and market rules.
- 3) Familiarity and experience with the New York Independent System Operator (NYISO) regulatory framework and operations of energy markets in the New York Control Area. Knowledge in locational marginal prices, production costs, net imports and exports in conducting quantitative evaluation of electric market simulation modeling, or in conducting comparable evaluations and analysis. Understanding of rules and requirements for participating in energy, capacity, imports/exports, and ancillary services markets.
- 4) Familiarity and experience with surrounding control areas regulatory framework and operations of energy markets in PJM, ISO New England, Ontario, and Hydro Quebec. Technical knowledge germane to evaluating capacity, energy, associated transmission, imports, and other electricity-related products.
- 5) Professional experience interacting with entities and organizations such as:
 - a) Procurement Review Groups or Panels;
 - b) Independent System Operators or Regional Transmission Organizations, particularly the NYISO;
 - c) State regulatory Agencies, including utility commissions and permitting agencies, such as the New York Public Service Commission, Department of Public Service, Department of Environmental Conservation, and the Department of Agriculture and Markets;
 - d) Federal Energy Regulatory Commission.

B. Renewable Energy

- 1) Knowledge of and experience with:
 - a) Development of offshore wind, land-based wind, solar, hydroelectric, fuel cell, ocean/tidal, or bio-energy projects;
 - b) Analyzing and comparing daily, seasonal and annual generation production profiles, as well as daily, seasonal, and annual load profiles; and
 - c) Energy storage systems paired with renewable energy generation.

C. Procurement/Solicitations

- 1) Previous experience as an evaluator in an energy, electric generation, or REC procurement or solicitation which provided for bids in a range of structures such as:
 - a) Power Purchase or Bundled Agreements, and/or
 - b) Asset Purchase and Sale Agreements, and/or
 - c) Engineering, Procurement, and Construction Agreements.
- 2) Familiarity and experience with design, administration, evaluation/auditing or similar of:
 - a) Long-term procurement transactions ten years or greater in duration;
 - b) Competitive solicitations that involved utility affiliate bids;
 - c) Renewable Portfolio Standard (RPS) eligible resource solicitations, renewable energy or REC bilateral negotiations, and/or contract amendments; and/or
 - d) Energy storage solicitations, bilateral contract negotiations.
- 3) Experience with:
 - a) Reviewing proposals for renewable energy generation contracts, subsidies, funding, or similar, including roles on evaluation teams and roles on a team where a consensus needed to be reached.
 - b) Reviewing solicitation documentation to ensure clarity of definition for price and non-price factors and products sought, to ensure that all Proposers effectively responded to the solicitation.
 - c) Electric generation due diligence experience that would transfer well to Project Viability and Operational Flexibility and Peak Coincidence (load matching, energy storage).
 - d) Models and quantitative methodologies used to evaluate power products, including energy, capacity, and ancillary services.

D. Economics and Project Financing

- 1) Familiarity with electric generation project financing including tax equity financing.
- 2) Experience reviewing and evaluating economic benefits or impacts or state and local content requirements.

E. Project Viability and Development

- 1) Experience directly related to renewable energy projects and generation asset development, such as project management or financial planning.
- 2) Experience reviewing and assessing electric generation project development risks and viability related to criteria such as:
 - a) Site control;
 - b) Interconnection and transmission access;
 - c) Permitting and environmental requirements;
 - d) Engineering;
 - e) Supply chain;
 - f) Project financing;
 - g) Contractual, legal and credit risk;
 - h) Regulatory requirements; and
 - i) Annual and temporal energy production forecasting and resource assessment.

F. Interconnection and Transmission

- 1) Experience reviewing generation proposals that include complex new transmission and interconnection projects or upgrades;
- 2) Experience verifying transmission characteristics that may affect the suitability of proposals;

- 3) Direct knowledge of the NYISO transmission system and technical analyses performed by NYISO to address interconnection requests for proposed generation and transmission projects and associated NYISO processes and requirements strongly preferred (comparable knowledge may be considered);
- 4) Sufficient familiarity with energy and transmission dispatch modeling to understand validity of modeled assumptions and outcomes.

V. Processes and Procedures

A. Contracting and Schedule

NYSERDA anticipates awarding contracts to selected individuals, with an initial term of three years, for services in the form of Umbrella Agreements (see Attachment D - Standard Umbrella Agreement) and Task Work Orders (see Attachment C – Sample Task Work Order). The contract term may be extended through an option to renew (subject to NYSERDA discretion), for up to six years in total. Should the agreement be extended after the initial three-year contract period, rates may not escalate by more than 3% in each additional year. NYSERDA reserves the right to extend and/or add funding to the solicitation.

B. Services Requested

As a result of this RFQL, NYSERDA expects to retain multiple qualified Independent Evaluators who may, at a later date, be selected by NYSERDA to participate on a TEP to evaluate and rank Proposals received by NYSERDA under various Large Scale Renewables solicitations. Independent Evaluators selected for TEPs will need to be familiar with all governing PSC orders, implementation plans, and specific solicitations.

NYSERDA encourages proposals from all individuals who can demonstrate the qualifications and skill sets described within this solicitation to propose, regardless of whether or not they have previous experience as an Independent Evaluator of renewable energy projects. While proposing entities may include individuals, sole proprietors, or firms, Independent Evaluators will be engaged by NYSERDA as specified individuals selected based on that individual's qualifications and cost. No substitution for a selected Independent Evaluator will be allowed, and responsibilities as detailed below shall be carried out solely by the selected individuals and not by any support staff at the individual's firm. Independent Evaluators are not permitted to team with other individuals. Independent Evaluators will be required to sign non-disclosure agreements that include strict confidentiality provisions.

C. Umbrella Agreements

NYSERDA anticipates entering into Umbrella Agreements with multiple Independent Evaluators. NYSERDA will enter into zero-dollar value Umbrella Agreements with multiple successful Proposers, enabling NYSERDA to retain their services. The Umbrella Agreement will not guarantee any specific amount of work. Specific assignments will be the subject of TWOs that will include a description of the specific responsibilities and a fixed price or not to exceed budget. Using TWOs allows NYSERDA to select Independent Evaluators separately for each solicitation, given that the complexity of the evaluation, the availability of Independent Evaluators, and the relevant experience needed will vary for each solicitation.

D. TEP Screening

For each TEP, NYSERDA will identify a list of candidate Independent Evaluators to participate in proposal evaluation. The number and type of Independent Evaluators that will be used in each TEP from the contracted Independent Evaluator pool will depend on NYSERDA's needs, the type of

solicitation being conducted, the types of projects expected to bid into the solicitation, the particular Independent Evaluator's expertise, past performance, current workload, deadline requirements, the ability to provide high quality, cost-effective and timely services, and an analysis of any conflicts. The list will consist of a greater number of candidates than required by NYSERDA to constitute the TEP.

NYSERDA will then contact the candidates from this list to assess (i) the candidate's availability and capacity to perform the assigned tasks, and (ii) whether the candidate, at that time and continuing throughout the TEP's timeline, remains independent and free of any conflicts, notably from actual or potential participants in NYSERDA's solicitations. Candidates may be required to participate in a telephone or in-person interview in Albany, NY or New York, NY.

The candidate shall provide to NYSERDA an updated Conflict Statement detailing the candidate's anticipated actual or potential conflicts based on the solicitation's Proposer list at that time. A selected Independent Evaluator must commit to remain free of such conflicts during the term of engagement in the applicable TEP (typically two months from the time materials may be received until the final TEP score). Candidates that are unavailable to serve, unwilling to serve, or are determined at NYSERDA's sole discretion to have problematic conflicts, will be removed from the list for that TEP.

E. Task Work Orders

From the remaining pool of candidates, NYSERDA will select Independent Evaluators to constitute the TEP and assign Task Work Orders (TWOs) for each solicitation. When an Independent Evaluator is selected to serve on a TEP, NYSERDA will issue a TWO consisting of the statement of work and an associated budget for labor and (if applicable) travel expenses (see Attachment C: Sample Task Work Order).

F. Independent Evaluator Responsibilities

If and when selected for a TEP, the selected Independent Evaluator shall be required to perform the following:

- Execute a non-disclosure agreement prior to engaging in any TEP.
- Training/Orientation: Fully participate in a scoring guidance conference call or webinar including completing any necessary preparations, such as reading process documents or other supporting materials, or obtaining login access to NYSERDA systems.
- Review Proposals: Review and evaluate components of each Bid Proposal according to specific solicitation evaluation criteria.
- Preliminary Scoring of Proposals: Provide preliminary scores for each Bid Proposal using electronic tools provided by NYSERDA prior to any in-person TEP meeting. This preliminary score is used to create a starting point for TEP discussion.
- TEP Meetings and Final Scoring of Proposals: Attend in-person TEP meetings to be held at NYSERDA's Albany, NY and/or New York City offices and complete Final TEP Scoring using electronic tools provided by NYSERDA. NYSERDA establishes the TEP schedule, and the TEP can last multiple days, for example the TEP for RES solicitations last for one contiguous week.
- General Requirements: 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, in accordance with the TWO, when seeking reimbursement from NYSERDA. As TWOs are issued, regular check-ins will be scheduled with an assigned NYSERDA project manager from the Large Scale Renewables team.

Supplemental Responsibilities, under optional scope at NYSERDA's discretion may include the following:

- Portfolio Risk Assessment Meeting: At NYSERDA's request, attend in person or via telephone any Portfolio Risk Assessment meeting(s) to be held in Albany, NY or New York, NY. The Portfolio Risk Assessment considers whether to apply factors regarding the ability of the selected bid portfolio to be constructed at the proposed locations and within the required timeframe.
- Solicitation Process: Advise on the future development, design, and review of non-price evaluation criteria.
- Additional tasks as identified by NYSERDA and relevant to the appropriate solicitation, including any yet to be defined tasks.

G. Compensation

Compensation will be based on a selected Independent Evaluator's fully-burdened hourly rates or at a negotiated fixed fee rate, plus allowable expenses. Independent Evaluators will only be compensated upon the completion of the TEP Meeting and NYSERDA receiving all deliverables. Fee schedules shall be included in each proposal that identify rates for each Independent Evaluator. Proposers are asked to consider the length of the Agreement (three to six years) when proposing their fee schedules, which will be fixed for the duration of the first three-year contract period. Should the Agreement be extended after the initial three-year contract period, rates may not escalate by more than 3% in each additional year.

Budgets for all work conducted will be included in the TWO and approved by NYSERDA. The TWO will also place a ceiling or not-to-exceed amount for each project. Contractors who accrue billable hours beyond the ceiling in the TWO, without approval in writing by NYSERDA, will do so at their own risk. **Contractors will not be compensated for time spent in the preparation of any TWO.** Preparation of the TWO is considered to be covered by the contractor's overhead expense.

VI. Proposal Requirements

Proposers are invited to submit a proposal which demonstrates expertise in any or all of the Areas listed and described in Section IV. Proposers must provide sufficient information to effectively demonstrate the capability to perform all the work and services required to meet the evaluation criteria. The Proposer must consist of one individual and cannot include multiple firms or individuals. The Proposal must provide the name and qualifications of the specific individual that will perform the Independent Evaluator function.

A. Submittal

To be eligible for selection under this RFQL, Proposers must submit a complete bid package and agree to the requirements of this RFQL. **Proposers are encouraged to allocate at least 60 minutes to enter/submit each proposal.**

B. Length

Proposals should not be excessively long or submitted in an elaborate format. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Page limit suggestions for each section are provided below. Each page of the proposal should state the name of the Proposer, RFQL 3926, the page number, and Area and sub-Area letter/number to which it applies. 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 points.

C. Ownership and Compensation

All responses submitted as part of this solicitation process become the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals.

D. Proposal Format

Each proposal shall identify the name of the specific individual put forward as an Independent Evaluator candidate and contain the following:

1. Cover Letter(s) (1 page suggested)

Proposers shall submit a cover letter, on company letterhead if applicable, that:

- References RFQL 3926.
- Specifies each Area, by name and number, where expertise is claimed.
- Summarizes the Proposer's ability to serve as an Independent Evaluator.
- Is signed by the proposer.

2. Table of Contents (1 page)

Proposers should present a comprehensive table of contents that outlines the page number and section where each response can be found.

3. Requirements (1-3 pages)

Proposer should present a comprehensive response to the list of requirements described in Section III.

4. Experience and Capabilities organized by Area (maximum 10 pages total)

Proposers shall submit a narrative describing an individual candidate's relevant experience and capabilities in one or more of the Areas A-F provided in Section IV. Proposers may wish to include:

(a) Quality of expertise, breadth and depth of experience performing services in the Area (2-3 pages)

Describe the expertise, qualifications, and abilities of the individual relevant to the Area. Proposers should describe the breadth and depth of their experience as it relates to the Area's needs. Describe the experience as an individual to deliver services in the Area. The description should include the aggregate number of years' experience in the Area and a brief summary of at least two, and no more than three, projects related to this Area. The project descriptions should specify the level of involvement of the Proposer and results/deliverables of the project, including (where applicable) the level of responsibility in negotiating and evaluating energy contracts.

(b) Market awareness and insights of opportunities and challenges in the Area (2-3 pages)

Describe the key challenges and opportunities, both technical and market-based, facing the Area in the short, medium, and long term. Focus on similarities and differences between New York and the market at large.

(c) Consensus Building (1-2 pages)

Describe past working relationships including ability to lead a team to consensus or experience with reaching consensus as part of team. The description should include a brief summary of at least two, and no more than three, examples of consensus building. The

examples provided should specify the level of involvement of the Proposer and results/deliverables of the project.

5. References (1 page)

Provide a list of three (3) references, with associated contact information, concerning work assignments performed that demonstrate application of the range of skills, experience, and qualifications required for an Independent Evaluator.

6. Conflict Statement (1-2 pages)

A Proposer must disclose potential or anticipated conflicts of interest in the response to RFQL 3926, and a selected Independent Evaluator must affirm independence and freedom from any actual or perceived conflict of interest at the time NYSERDA requests an Independent Evaluator's participation in a specific TEP. Proposer shall disclose any known conflict, or potential conflict of interest, that is likely to arise while participating in NYSERDA TEPs, including relationships with any potential participants. Given the 3 or up to 6-year term of an Umbrella Agreement under this solicitation, as it may be extended, disclosure of a potential future conflict will not disqualify a Proposer from consideration hereunder.

7. Cost Proposal – Project Personnel and Rate Form (2 pages)

Proposers will be evaluated based upon the reasonableness of the proposed hourly rates. NYSERDA will negotiate budgets specific to the TEP assignment at the time of TWO execution. Include estimates for travel to both NYSERDA's Albany, NY and New York, NY offices as a separate line item in each format. Reasonable costs for travel will be part of TWOs. NYSERDA will not reimburse the purchase or rental of tools and equipment.

NYSERDA may seek to negotiate a fixed-fee arrangement for individual solicitations.

Proposers must provide a populated Budget - Project Personnel and Rate Form (Attachment A) and submit the name, job title, and fully-burdened hourly salary range for the individual who will perform the work under an Agreement with NYSERDA. Provided Rates should cover the initial three-year contract period. NYSERDA may negotiate rates, which shall in no event escalate by more than 3% per year. Should the Agreement be extended after the initial three-year contract period, at the time of the extension the Proposer may indicate and justify a new base rate applicable to the extension term, which may not escalate by more than 3% in each additional year of the extension term. Supporting documentation to support fully burdened rates included in the proposal must:

- a) Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projections; based on federal government or other independently approved rates, or indicate rates as 'market-based').
- b) Include one of the following:
 - i) If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
 - ii) If rate(s) are based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.
 - iii) In lieu of the above, sole proprietors/non-salaried individuals may submit evidence of comparable rates to the rate proposed for the first year being charged to at least two similarly situated clients.

8. Résumé (Up to 3 pages)

Include a résumé/Curriculum Vitae that highlights recent experiences of the individual being considered for the Independent Evaluator pool. Individual résumés/Curriculum Vitae shall not exceed three (3) pages.

9. Exceptions to Standard Agreement and Task Work Order (Provide as an attachment)

Proposer shall identify and explain any exceptions to NYSERDA's Standard Umbrella Agreement (Attachment D). Exceptions must be identified and will be included as part of the proposal for consideration and evaluation. NYSERDA will entertain limited requests for exceptions; the rules governing this competitive opportunity restrict NYSERDA's ability to negotiate. All exceptions to the Terms and Conditions must include:

- a) The reason for such exception
- b) If applicable, proposed alternative language using Microsoft Word "Insert Comments" or "Track Changes" feature.

VII. Proposal Evaluation

NYSERDA will review and evaluate proposals: (1) for responsiveness, completeness, clarity and compliance with this solicitation; (2) to identify the Proposers that have the highest probability of satisfactorily performing the scope of services at a reasonable cost to NYSERDA. Proposals that do not respond to the submittal requirements or clearly demonstrate the Proposer's relevant qualifications may be disqualified.

Proposals that meet submission requirements will be reviewed by a Scoring Committee arranged by NYSERDA. Proposers may be required to participate in an interview in Albany, NY or via a webinar or conference call prior to final selection.

Responses to this RFQL will be reviewed and assigned scores based on the criteria described below in order of importance, as well as by other programmatic and management factors deemed appropriate by NYSERDA.

A. Quality of expertise, breadth and depth of experience performing services in Areas A-F, assessed on the basis of:

- Demonstrated qualifications, experience, and ability of Proposer to perform the proposed work, including, but not limited to the specific experience reviewing renewable energy resources RFPs and the demonstration of knowledge in area for which work is proposed, including experience with energy-related work and the conduct and delivery of similar or related services;
- Previous experience in the conduct and delivery of similar or related services;
- Quality and relevance of previous work as evidenced by examples; and
- Information provided by references, including examples of recent work as it relates to an/a Area(s). References for work performed in New York State is preferred.

B. Market awareness and insights of opportunities and challenges in Areas A-F, assessed on the basis of:

- Understanding the challenges and/or barriers related to an Area(s); and
- Insights on similarities and differences between New York and the market at large;

C. Consensus Building, assessed on the basis of:

- Demonstrated experience and ability of Proposer to work effectively in teams;

- Quality and relevance of previous work as evidenced by examples; and
- Information provided by references, and if possible, including examples of recent work as it relates to an Area(s).

D. Cost Structure – Reasonableness of fully-burdened labor rates and associated fees, assessed on the basis of:

- The degree to which pricing and hourly rates are in line with the rest of the market;
- Overall reasonableness of fully-burdened labor rates and fees;
- Consistency of rates compared to expertise, qualifications, etc.; and
- Minimizing travel costs for candidates outside of New York State.

E. Other Considerations, assessed on the basis of:

- Past experiences as a contractor with NYSERDA, distinguishing notable position in industry, or accomplishments on projects;
- Demonstration of specialized or unique capabilities; and
- whether the Proposer has New York-based office(s).

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.
- The degree to which there are technical, market, organizational and/or environmental risks associated with the Proposer(s)
- The degree to which the Proposer has the resources (human and financial) to be able to complete the project

VIII. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of three (3) year initial term, with one, three-year option to renew at NYSERDA's discretion, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal 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 Standard Umbrella Agreement (Attachment D) to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Standard Umbrella Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify Proposers in approximately two to eight weeks from the proposal due date whether your proposal was selected.

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 Standard Umbrella Agreement (Attachment D). 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.

IX. Attachments

Attachment A: Budget - Project Personnel and Rate Form
Attachment B: Non-Disclosure Agreement
Attachment C: Sample Task Work Order
Attachment D: Standard Umbrella Agreement

NYSERDA

Public Authority Law Report

April 1, 2018 to September 30, 2018

Section Break

Projects Selected for Funding by Region

Period 4/1/2018 through 9/30/2018

REDC Region	County	Electric Utility	Total Funded Amount
Capital Region	Albany	Central Hudson Gas and Electric	5,130,494
		National Grid	14,441,194
	Columbia	National Grid	67,353
		NYS Electric and Gas	386,400
	Greene	Central Hudson Gas and Electric	1,023,191
		NYS Electric and Gas	299,800
	Rensselaer	National Grid	348,192
		NYS Electric and Gas	11,100
	Saratoga	National Grid	2,690,801
		NYS Electric and Gas	23,970
	Schenectady	National Grid	21,482,134
	Warren	National Grid	234,547
	Washington	National Grid	22,112,900
		NYS Electric and Gas	9,500
	Total		68,261,575
Central New York	Cayuga	NYS Electric and Gas	845,710
		Rochester Gas and Electric	69,755
	Cortland	National Grid	88,494
		NYS Electric and Gas	21,550,545
	Madison	Municipal Utilities	50,000
		National Grid	809,232
		NYS Electric and Gas	51,267
	Onondaga	Municipal Utilities	50,000
		National Grid	25,122,703
		NYS Electric and Gas	102,500
	Oswego	National Grid	457,455
	Total		49,197,662
Finger Lakes	Genesee	Municipal Utilities	50,000
		National Grid	499,336
	Livingston	National Grid	121,994
		NYS Electric and Gas	5,515
		Rochester Gas and Electric	12,107
	Monroe	Municipal Utilities	1,962,293
		National Grid	95,948
		Rochester Gas and Electric	10,031,670
	Ontario	NYS Electric and Gas	156,856
		Rochester Gas and Electric	552,439
	Orleans	National Grid	39,622
	Seneca	NYS Electric and Gas	104,239
	Wayne	NYS Electric and Gas	54,767
		Rochester Gas and Electric	75,752
	Wyoming	Municipal Utilities	34,368
		National Grid	11,250
		NYS Electric and Gas	1,164,602

Projects Selected for Funding by Region

Period 4/1/2018 through 9/30/2018

REDC Region	County	Electric Utility	Total Funded Amount
Finger Lakes	Wyoming	Rochester Gas and Electric	5,997
	Yates	NYS Electric and Gas	7,500
	Total		14,986,255
Long Island	Nassau	Long Island Power Authority	1,198,722
	Suffolk	Long Island Power Authority	1,842,943
	Total		3,041,665
Mid-Hudson	Dutchess	Central Hudson Gas and Electric	2,615,660
	Orange	Central Hudson Gas and Electric	3,785,380
		NYS Electric and Gas	5,355
		Orange and Rockland Utilities	29,010,556
	Putnam	NYS Electric and Gas	47,422
	Rockland	Orange and Rockland Utilities	1,320,291
	Sullivan	Central Hudson Gas and Electric	13,056
		NYS Electric and Gas	536,495
		Orange and Rockland Utilities	7,439
	Ulster	Central Hudson Gas and Electric	59,989,638
		NYS Electric and Gas	8,400
	Westchester	Consolidated Edison	5,311,637
		NYS Electric and Gas	3,870,454
	Total		106,521,784
Mohawk Valley	Fulton	National Grid	45,597,543
	Herkimer	Municipal Utilities	390,000
		National Grid	47,969
	Montgomery	National Grid	19,684,225
	Oneida	Municipal Utilities	2,500
		National Grid	2,407,196
		NYS Electric and Gas	5,434
	Otsego	NYS Electric and Gas	181,059
	Schoharie	National Grid	41,681,770
	Total		109,997,696
New York City	Bronx	Consolidated Edison	3,744,561
	Kings	Consolidated Edison	6,250,993
	New York		19,800
		Consolidated Edison	16,194,164
	Queens	Consolidated Edison	999,527
		Long Island Power Authority	97,139
	Richmond	Consolidated Edison	489,780
	Total		27,795,964
North Country	Clinton	NYS Electric and Gas	2,761,038
	Essex	National Grid	10,117
		NYS Electric and Gas	651,088
	Franklin	National Grid	1,345,354
		NYS Electric and Gas	7,604
	Hamilton	National Grid	7,677

Projects Selected for Funding by Region

Period 4/1/2018 through 9/30/2018

REDC Region	County	Electric Utility	Total Funded Amount
North Country	Jefferson	Municipal Utilities	2,500
		National Grid	1,078,449
	Lewis	National Grid	554,844
	St. Lawrence	National Grid	703,647
	Total		7,122,319
Southern Tier	Broome	NYS Electric and Gas	2,269,331
	Chemung	NYS Electric and Gas	866,738
	Chenango	Municipal Utilities	21,167,530
		NYS Electric and Gas	22,612,729
	Delaware	NYS Electric and Gas	28,947
	Schuyler	NYS Electric and Gas	7,560
	Steuben	NYS Electric and Gas	409,561,177
	Tioga	NYS Electric and Gas	19,322,196
	Tompkins	NYS Electric and Gas	6,498,244
	Total		482,334,452
Statewide	STATEWIDE	Statewide	235,283,738
	Total		235,283,738
Western New York	Allegany	National Grid	2,500
		NYS Electric and Gas	6,174
		Rochester Gas and Electric	75,478
	Cattaraugus	National Grid	781,477
		NYS Electric and Gas	50,486
	Chautauqua	Municipal Utilities	61,282
		National Grid	387,959
	Erie	National Grid	2,702,563
		NYS Electric and Gas	967,762
	Niagara	National Grid	214,137
		NYS Electric and Gas	48,215
	Total		5,298,033
Grand Total			1,109,841,141

NYSERDA

Public Authority Law Report

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Projects Selected for Funding by Region
Period 4/1/2018 through 9/30/2018

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	22nd Century Technologies, I..	Albany	National Grid	NYSERDA ADMINISTRATION, Staff Augmentati..	345,150
	Active Solar Development, LLC	Rensselaer	National Grid	<200KW PV, NY Sun	5,999
		Saratoga	National Grid	<200KW PV, NY Sun	216
		Schenectady	National Grid	<200KW PV, NY Sun	3,416
	Adam C. Boese	Albany	National Grid	Technical Services, FlexTech Consultant Selecti..	2,705
		Rensselaer	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
		Warren	National Grid	Technical Services, FlexTech Consultant Selecti..	2,500
		Washington	National Grid	Technical Services, FlexTech Consultant Selecti..	10,870
	Adirondack Beverages Corp.	Schenectady	National Grid	Industrial Process Effic, Industrial Process Efficie..	129,827
	Affordable Housing Partnership	Albany	National Grid	CLEANER GREENER COMMUNITIES, CGC549..	1,500,000
	Albany Medical Center	Albany	National Grid	Technical Services, OsEM3-C Albany Medical C..	214,000
	AlienVault, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, AlienVault Licens..	12,209
	Allegis Group Holdings Inc	Albany	National Grid	Campus/Technical Assistance, Staff Augmentatio..	23,811
				Community RH&C, Staff Augmentation Services	71,432
				ENERGY ANALYSIS, Staff Augmentation Servic..	83,948
				K-12 SCHOOLS, Staff Augmentation Services	503,125
				New Construction- Commercial, Staff Augmentati..	14,000
				NEW YORK GREEN BANK, Staff Augmentation ..	13,305
				NY-SUN, Staff Augmentation Services	164,697
				Renewable Heat NY, Staff Augmentation Services	31,748
				Solar Thermal, Staff Augmentation Services	31,748
	Apex Solar Power LLC	Rensselaer	National Grid	<200KW PV, NY-Sun	5,850
		Saratoga	National Grid	<200KW PV, NY Sun	8,232
		Warren	National Grid	<200KW PV, NY Sun	5,355
	APPEXTREMES, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Conga Composer	7,200
	Arcadis U.S., Inc.	Albany	National Grid	Industrial Process Effic, Tech Review & Program ..	3,348
		Schenectady	National Grid	Industrial Process Effic, Tech Review & Program ..	2,417
	Autonomous Energies LLC	Greene	Central Hudson Gas a..	<200KW PV, NY Sun	14,892
	Barbaera Homes and Develop..	Saratoga	National Grid	Low Rise New Construction, New Construction	72,650
	Belmonte Builders	Saratoga	National Grid	Low Rise New Construction, New Construction	35,150
			NYS Electric and Gas	Low Rise New Construction, New Construction	23,750
	Bethlehem Central School Dis..	Albany	National Grid	EXISTING FACILITIES, EFP2356-Bethlehem Ce..	81,027
	Bishop House Consulting, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Human Resourc..	16,000
	Bonacio Construction, LLC	Saratoga	National Grid	Low Rise New Construction, New Construction	15,000
	Bond, Schoeneck & King, PLLC	Albany	National Grid	Clean Energy Communities, RFP 3300 Outside ..	5,000
				OREC: Technical Support, RFP 3300 Outside Co..	100,000
				OTHER PROGRAM AREA, RFP 3300 Outside C..	80,000
	Borrego Solar Systems, Inc.	Albany	Central Hudson Gas a..	>200KW PV, NY Sun	3,700,000
	C.J. Brown Energy, P.C.	Washington	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant S..	9,500
	Carahsoft Technology Corporation	Albany	National Grid	EVALUATION, Performance Management	52,650
				NYSERDA ADMINISTRATION, 25 Salesforce Lic..	42,350
	Catamount Ski Area	Columbia	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	299,400
	CDWG, Incorporated	Albany	National Grid	NYSERDA ADMINISTRATION, SNOW - Endpoin..	18,450
	Center for Internet Security Inc	Albany	National Grid	NYSERDA ADMINISTRATION, Information Secu..	7,400
	Center for Sustainable Energy	Albany	National Grid	Electric Vehicles - Rebate, ChargeNY ZEV Rebat..	402,007
				OTHER PROGRAM AREA, Centralized Services..	170,234
	CHA Consulting Inc.	Albany	National Grid	Industrial Process Effic, Staff Augmentation Servi..	64,442
				Industrial Process Effic, Technical Review and Pr..	6,600
				INDUSTRIAL PROCESS EFFICIENCY, Staff Au..	150,364
		Warren	National Grid	Industrial Process Effic, Technical Review and Pr..	215,000
	Clean Energy Collective, LLC	Albany	Central Hudson Gas a..	>200KW PV, NY Sun	1,419,863
		Greene	Central Hudson Gas a..	>200KW PV, NY Sun	701,663

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	CLEAResult Consulting, Inc.	Albany	National Grid	Air Source Heat Pumps, Centralized Services & ..	20,000
				EXISTING FACILITIES, Centralized Services & S..	5,000
				Industrial Process Effic, Centralized Services & S..	56,508
				K-12 SCHOOLS, Centralized Services & Support	15,000
				LMI Community Solar, Centralized Services & Su..	36,000
				Renewable Heat NY, Centralized Services & Sup..	20,000
				Technical Services, Centralized Services & Supp..	111,595
	Combined Energies LLC	Albany	National Grid	Energy Storage Tech/Prod Dev, PON 3585 Ener..	501,506
	Cornell University	Albany	National Grid	Cleantech Geo Coverage, 2019 Entrepreneurshi..	30,000
	Darby Solar, LLC	Washington	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	22,064,000
	Dell, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Laptops for West..	10,750
	Diana L. McWilliams Interior D..	Albany	National Grid	NYSERDA ADMINISTRATION, Capital Plan Ren..	75,000
	Direct Packet Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Video Service R..	26,082
	Earth Sensitive Solutions, LLC	Saratoga	National Grid	Geothermal Incentive Program, Large-Scale GS..	794,760
	Eiger 3970 Consultants Inc.	Columbia	National Grid	<200KW PV, NY Sun	17,010
	Electric Power Research Instit..	Albany	National Grid	SMART GRID SYSTEMS, Clean DER Interconne..	25,000
	EME Consulting Engineering ..	Albany	National Grid	K-12 SCHOOLS, Staff Augmentation Services	503,125
	Employee Leasing of Greater ..	Albany	National Grid	NYSERDA ADMINISTRATION, Temp Employee ..	17,550
	Enermat Technologies, Inc.	Rensselaer	National Grid	Energy Storage Tech/Prod Dev, PON 3585 Ener..	199,225
	Erdman Anthony & Associates..	Saratoga	National Grid	Industrial Process Effic, Technical Review and Pr..	5,820
	ESRI, Incorporated	Albany	National Grid	NYSERDA ADMINISTRATION, ArcGIS Desktop ..	22,200
	Executive Information Systems, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Purchase SAS A..	6,991
				NYSERDA ADMINISTRATION, Statistics and An..	8,277
	Fiber Technologies Networks, ..	Albany	National Grid	NYSERDA ADMINISTRATION, Renewal: Dark Fi..	11,940
	First Columbia Property Servi..	Albany	National Grid	NYSERDA ADMINISTRATION, Property Manage..	228,674
	FM Office Express	Albany	National Grid	Sit Stand Desks	19,368
	Habitat for Humanity (Capital ..	Albany	National Grid	Low Rise New Construction, New Construction	10,800
	Harris Beach PLLC	Albany	National Grid	NYSERDA ADMINISTRATION, RFP 3300 Outsid..	20,000
				WEST VALLEY DEVELOPMENT PROGRAM, R..	15,606
	Harris Wiltshire & Grannis LLP	Albany	National Grid	OTHER PROGRAM AREA, RFP3776 Outside C..	50,000
	Hewlett-Packard Enterprise C..	Albany	National Grid	NYSERDA ADMINISTRATION, Support for NYS..	5,204
	Hudson Solar	Columbia	National Grid	<200KW PV, NY Sun	11,907
		Warren	National Grid	<200KW PV, NY Sun	6,148
	Hudson Valley Community Co..	Rensselaer	National Grid	REV Campus Challenge, RM26 - Hudson Valley ..	54,666
	Hunter Mountain Ski Bowl Inc.	Greene	Central Hudson Gas a..	Industrial Process Effic, Industrial Process Effic..	300,000
	ICAST	Albany	National Grid	Retrofit NY, Multifamily	75,000
	Independent Security Service..	Albany	National Grid	NYSERDA ADMINISTRATION, Security Servies	5,000
	Intrada Saratoga Springs, LLC	Saratoga	National Grid	Low Rise New Construction, New Construction	114,800
	Joule Capital, LLC	Saratoga	National Grid	Real Time Enrgy Management, Joule Capital-Mul..	65,920
	Kasselman Solar LLC	Albany	Central Hudson Gas a..	<200KW PV, NY Sun	5,591
			National Grid	<200KW PV, NY Sun	6,505
		Columbia	National Grid	<200KW PV, NY Sun	7,020
		Greene	Central Hudson Gas a..	<200KW PV, NY-Sun	6,636
		Rensselaer	NYS Electric and Gas	<200KW PV, NY Sun	5,976
		Saratoga	National Grid	<200KW PV, NY Sun	24,754
		Schenectady	National Grid	<200KW PV, NY Sun	6,048
		Warren	National Grid	<200KW PV, NY Sun	5,544
		Washington	National Grid	<200KW PV, NY Sun	5,796
		Albany	National Grid	Industrial Process Effic, Technical Review and Pr..	21,150
			National Grid	Technical Services, FlexTech Consultant Selecti..	2,500
	Level 3 Communications, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Facilities Manag..	49,999
	LexisNexis	Albany	National Grid	NYSERDA ADMINISTRATION, Online Legal Res..	49,968

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Liberty Affordable Housing, Inc.	Albany	National Grid	Multifam Performance Pgm, Multifamily	84,700
	Lincoln Life & Annuity Compa..	Albany	National Grid	NYSERDA ADMINISTRATION, Long Term Disab..	75,000
	Lotus Energy, Inc.	Columbia	National Grid	<200KW PV, NY Sun	14,026
	Malta Development Company ..	Saratoga	National Grid	Low Rise New Construction, New Construction	20,250
	Michaels Group Homes, LLC	Albany	National Grid	Low Rise New Construction, New Construction	22,800
	Monolith Solar Associates, LLC	Albany	Central Hudson Gas a..	<200KW PV, NY Sun	5,040
		Columbia	National Grid	<200KW PV, NY Sun	6,608
		Rensselaer	National Grid	<200KW PV, NY Sun	68,068
		Schenectady	National Grid	<200KW PV, NY Sun	191,136
		Washington	National Grid	<200KW PV, NY Sun	32,234
	NASEO	Albany	National Grid	Prof & Expert Engagement, Office of the Preside..	15,148
	Network Experts of New York,...	Albany	National Grid	NYSERDA ADMINISTRATION, PeopleSoft Admi..	360,000
	New York State Forum for IRM	Albany	National Grid	NYSERDA ADMINISTRATION, NYS Forum Me..	5,500
	NGenious Solutions Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, SharePoint Onlin..	28,000
	NYS Office for Technology	Albany	National Grid	NYSERDA ADMINISTRATION, O365 Point to Po..	11,232
	NYS Office of General Services	Saratoga	NYS Electric and Gas	SARATOGA TECHNOLOGY & ENERGY PARK, ..	220
	Oracle America, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Oracle - User Pr..	8,968
	Pamal Broadcasting Ltd	Albany	National Grid	>200KW PV, NY-Sun C/I	889,494
	Paradise Energy Solutions, LL..	Saratoga	National Grid	<200KW PV, NY Sun	6,400
	Pattersonville Solar Facility, L..	Schenectady	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	20,899,290
	Penda Aiken Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Temporary Rece..	21,420
	Phire, Inc	Albany	National Grid	NYSERDA ADMINISTRATION, Phire Maintenan..	15,300
	PlugPV, LLC	Columbia	National Grid	<200KW PV, NY Sun	6,298
		Rensselaer	National Grid	<200KW PV, NY Sun	6,619
			NYS Electric and Gas	<200KW PV, NY Sun	5,124
	Politico LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Communications	5,000
	Powerhouse Dynamics, Inc	Albany	National Grid	Real Time Enrgy Management, Powerhouse-Five..	1,984
		Columbia	National Grid	Real Time Enrgy Management, Powerhouse-Five..	1,984
		Saratoga	National Grid	Real Time Enrgy Management, Powerhouse-Five..	1,984
	Provantage, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Monitors for NYC..	10,078
	Randstad North America, Inc.	Albany	National Grid	ENERGY ANALYSIS, Temp Services Contract.	70,000
				Environmental Research, Temp Services Contra..	25,000
				EVALUATION, Temp Services Contract.	12,000
				Home Perf w Energy Star, Temp Services Contra..	13,000
				K-12 SCHOOLS, Temp Services Contract.	6,000
				Multifam Performance Pgm, Temp Services Cont..	22,500
				NYSERDA ADMINISTRATION, Temp Services C..	212,355
				Residential-Engaging New Mkts, Temp Services ..	13,000
				ENERGY ANALYSIS, Modeling and Analytics	6,000
				Low Rise New Construction, New Construction	20,000
	Rochester Computer Recyclin..	Albany	National Grid	NYSERDA ADMINISTRATION, Data Destruction..	25,000
	Schenectady County	Schenectady	National Grid	Clean Energy Communities, Schenectady County	250,000
	Selkirk Cogen Partners LP	Albany	National Grid	Industrial Process Effic, Industrial Process Effic..	257,934
	SHI, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, 1 Year - Adobe A..	20,378
	Sitecore USA, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Sitecore Web Su..	25,300
	Sive Paget & Riesel PC	Albany	National Grid	NYSERDA ADMINISTRATION, RFP 3300 & RF..	5,500
				Off-Shore Wind Master Plan, RFP 3300 & RFP 3..	75,000
				OREC: Technical Support, RFP 3300 & RFP 377..	75,000
				REC:CES REC System Dev Costs, RFP 3300 & ..	20,000
	Ski Windham Operating Corp.	Greene	NYS Electric and Gas	Industrial Process Effic, Industrial Process Effic..	299,800
	Solar Liberty Energy Systems,...	Rensselaer	National Grid	<200KW PV, NY Sun	5,265
	Solar Mission II LLC	Saratoga	National Grid	NY-Sun C&I Saratoga Springs	1,464,096

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	SolarCity Corporation	Saratoga	National Grid	<200KW PV, NY Sun	8,269
	Systems Management Planning, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Aerohive Renew..	5,941
				NYSERDA ADMINISTRATION, Manage Engine ..	8,821
				NYSERDA ADMINISTRATION, VEEAM License ..	20,426
	Tech Valley Talent, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Staff Augmentati..	605,580
				REC:CES REC System Dev Costs, Staff Augme..	354,900
	Terremark Federal Group, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Enterprise EClou..	13,914
	The Radiant Store	Columbia	NYS Electric and Gas	Renewable Heat NY, Radiant Store - Chatham H..	7,000
	ThunderCat Technology LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Atlassian Produc..	19,540
				NYSERDA ADMINISTRATION, Renewal: Docusi..	82,290
	Town of Clifton Park	Saratoga	National Grid	Clean Energy Communities, CEC400011 - Town ..	50,000
	Town of Hillsdale	Columbia	NYS Electric and Gas	Clean Energy Communities, Town of Hillsdale	80,000
	Town of Knox	Albany	National Grid	Clean Energy Communities, Town of Knox	100,000
				Town of Knox	30,000
	TRC Energy Services	Albany	National Grid	ENERGY ANALYSIS, Staff Augmentation Servic..	233,100
				ENVIRONMENTAL RESEARCH, Staff Augmenta..	333,000
				Flexible Tech Assistance, Staff Augmentation Se..	84,850
				K-12 SCHOOLS, Staff Augmentation Services	1,053,025
				Multifam Performance Pgm, Staff Augmentation ..	785,501
				REC:CES REC System Dev Costs, Staff Augme..	48,019
		Saratoga	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
	Triad Technology Partners LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Tableau Mainten..	70,305
	TurnKey Internet, Inc.	Albany	National Grid	Industrial Process Effic, Industrial Process Efficie..	112,391
	Unique Comp Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, I.T. Staff Augme..	1,053,780
	Vermont Energy Investment C..	Albany	National Grid	Industrial Process Effic, Technical Review and Pr..	327,841
	Village of Altamont	Albany	National Grid	Clean Energy Communities, Communities & Loc..	5,000
				Communities & Local Government	30,000
	Village of Voorheesville	Albany	National Grid	Clean Energy Communities, Village of Voorheesv..	50,000
				Village of Voorheesville	30,000
	Willdan Energy Solutions	Albany	National Grid	Multifam Performance Pgm, Staff Augmentation ..	165,603
	Wiltshire Renewable Energy Systems, LLC	Albany	National Grid	<200KW PV, NY Sun	65,000
				<200KW PV, NY-Sun	5,040
	Zones Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Network Switch -..	9,995
	Total				68,261,575
Central New York	Adam C. Boese	Cayuga	NYS Electric and Gas	Technical Services, FlexTech Consultant Selecti..	2,500
			Rochester Gas and El..	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
		Cortland	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
		Madison	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	5,000
				Technical Services, FlexTech Consultant Selecti..	6,000
		Onondaga	NYS Electric and Gas	Technical Services, FlexTech Consultant Selecti..	2,500
		Oswego	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
	Alternative Power Solutions of NY, LLC	Madison	National Grid	<200KW PV, NY Sun	10,164
		Onondaga	National Grid	<200KW PV, NY Sun	22,384
		Oswego	National Grid	<200KW PV, NY Sun	5,880
	Antares Group, Inc.	Madison	National Grid	Industrial Process Effic, Technical Review and Pr..	4,199
		Onondaga	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Technic..	1,119
	Arcadis U.S., Inc.	Onondaga	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Tech Re..	1,190
	Bergmann Associates	Cortland	NYS Electric and Gas	Renewable Heat NY, Technical Review and Prog..	2,300
	BHP Energy LLC	Onondaga	National Grid	Combined Heat and Power, CHPA - Rosamond ..	180,502
	Byrne Dairy, Inc.	Onondaga	National Grid	On-Site Energy Manager, OsEM2-I - Byrne Dairy..	196,610
	Cayuga Milk Ingredients	Cayuga	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	34,230
	CDS Monarch Inc	Onondaga	National Grid	Low Rise New Construction, New Construction	50,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Central New York	Central New York Regional Pl..	Onondaga	National Grid	Community RH&C, PON3723 RH&C Campaigns	500,000
	CHA Consulting Inc.	Onondaga	National Grid	Flexible Tech Assistance, FlexTech Consultant S..	12,538
				Industrial Process Effic, Technical Review and Pr..	4,400
	Charter Communications, Inc.	Onondaga	National Grid	Industrial Process Effic, Industrial Process Efficie..	141,194
	City of Auburn	Cayuga	NYS Electric and Gas	Clean Energy Communities, City of Auburn	50,000
	City of Cortland	Cortland	National Grid	Clean Energy Communities, PON 3298 CEC	50,000
	CNY Solar, Inc.	Madison	National Grid	<200KW PV, NY Sun	281,978
		Onondaga	National Grid	<200KW PV, NY Sun	10,955
		Oswego	National Grid	<200KW PV, NY Sun	5,434
	County of Cayuga	Cayuga	NYS Electric and Gas	Clean Energy Communities, County of Cayuga	250,000
	Ecovis, Inc.	Onondaga	National Grid	<200KW PV, NY Sun	9,928
	Erdman Anthony & Associates..	Cayuga	Rochester Gas and El..	Technical Services, FlexTech Consultant Selecti..	6,000
	Extraterrestrial Materials Inc.	Cortland	National Grid	<200KW PV, NY Sun	5,574
	Felix Schoeller Paper	Oswego	National Grid	Industrial Process Effic, Industrial Process Efficie..	22,111
	Frontier Energy, Inc.	Cayuga	NYS Electric and Gas	Industrial Process Effic, Technical Review_Prgm ..	12,360
		Oswego	National Grid	Industrial Process Effic, Technical Review_Prgm ..	4,890
	G.W. Ehrhart, Inc.	Cayuga	NYS Electric and Gas	Renewable Heat NY, Erhart/Flinn	21,000
				Renewable Heat NY, G.W Ehrhart/Grusenmeyer	21,000
	George E Denmark II	Cortland	NYS Electric and Gas	<200KW PV, NY Sun	7,245
	Interface Solutions, Inc.	Oswego	National Grid	On-Site Energy Manager, OsEM9-I-Interface Pref..	214,000
	Janis Solar, LLC	Cortland	NYS Electric and Gas	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	21,538,500
	King & King Architects, LLP	Onondaga	National Grid	Retrofit NY, Multifamily	75,000
	L&S Energy Services, Inc.	Cortland	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
	LaBella Associates, P.C.	Madison	NYS Electric and Gas	Technical Services, FlexTech Consultant Selecti..	2,500
	M/E Engineering, P.C.	Cayuga	Rochester Gas and El..	Industrial Process Effic, Technical Review and Pr..	11,255
		Madison	NYS Electric and Gas	Commercial New Construc, New Construction	37,767
	Madison County IDA	Madison	National Grid	CLEANER GREENER COMMUNITIES, Madison..	250,000
	Nickels Energy Solutions LLC	Cortland	National Grid	<200KW PV, NY Sun	5,670
	NY RNM Project2, LLC	Onondaga	National Grid	>200KW PV, NY-SUN C&I	1,129,911
	Oswego County Opportunities..	Oswego	National Grid	Low Rise New Construction, New Construction	53,600
	Paradise Energy Solutions, LLC	Onondaga	National Grid	<200KW PV, NY Sun	25,155
		Oswego	National Grid	<200KW PV, NY Sun	8,450
	Pine Tree Vintage, LLC	Onondaga	National Grid	Multifam Performance Pgm, Multifamily	45,500
	Powerhouse Dynamics, Inc	Onondaga	National Grid	Real Time Enrgy Management, Powerhouse-Five..	7,934
	Renovus Energy, Inc.	Cayuga	NYS Electric and Gas	<200KW PV, NY Sun	27,849
		Cortland	National Grid	<200KW PV, NY Sun	8,750
	Ryan Homes (Virginia)	Onondaga	National Grid	Low Rise New Construction, New Construction	23,750
	Sky High Solar, LLC	Onondaga	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	22,362,290
	Skyline Solar Inc.	Oswego	National Grid	<200KW PV, NY Sun	11,340
	Stantec Consulting Services, I..	Onondaga	National Grid	Industrial Process Effic, Technical Review and Pr..	7,364
	Star Park Apartments Housing..	Onondaga	National Grid	Low Rise New Construction, New Construction	50,000
	Sunnycrest Gardens Vintage, ..	Onondaga	National Grid	Multifam Performance Pgm, Multifamily	42,700
	SUNY Cortland	Cortland	National Grid	<200KW PV, NY-Sun	13,500
	SUNY Oswego	Oswego	National Grid	NEW CONSTRUCTION PROGRAM, NCP12909 ..	73,250
	SUNY Upstate Medical Univer..	Onondaga	National Grid	NEW CONSTRUCTION PROGRAM, NCP12574-..	9,079
	Syracuse Label & Surround Pr..	Onondaga	National Grid	Industrial Process Effic, Industrial Process Efficie..	19,803
	Taitem Engineering, P.C.	Oswego	National Grid	Retrofit NY, Multifamily	6,000
	Thermold Corporation	Madison	National Grid	Industrial Process Effic, Industrial Process Efficie..	62,891
	Town of Cazenovia	Madison	National Grid	Clean Energy Communities, PON 3298 CEC	50,000
	Town of DeWitt	Onondaga	National Grid	Clean Energy Communities, Town of DeWitt	100,000
	Town of Hamilton	Madison	Municipal Utilities	Clean Energy Communities, Town of Hamilton	50,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Central New York	Town of Skaneateles	Onondaga	Municipal Utilities	Clean Energy Communities, Town of Skaneatele	50,000
	Trane	Cayuga	NYS Electric and Gas	Real Time Enrgy Management, Trane-17 Lansin..	155,000
				Real Time Enrgy Management, Trane-Wells Coll..	271,771
	Ultra Dairy, LLC	Onondaga	National Grid	Industrial Process Effic, Industrial Process Efficie..	36,557
	Upstate Alternative Energy	Onondaga	National Grid	<200KW PV, NY Sun	6,840
	Village of Canastota	Madison	National Grid	Clean Energy Communities, PON 3298 CEC	100,000
	Village of Cazenovia	Madison	National Grid	Clean Energy Communities, Village of Cazenovia	50,000
	Village of Fair Haven	Cayuga	Rochester Gas and El..	Clean Energy Communities, Village of Fair Haven	50,000
	Village of Fayetteville	Onondaga	National Grid	Clean Energy Communities, PON 3298 CEC	50,000
	Village of Marcellus	Onondaga	NYS Electric and Gas	Clean Energy Communities, PON 3298 CEC	100,000
	Village of Pulaski	Oswego	National Grid	Clean Energy Communities, Village of Pulaski	50,000
Total					49,197,662
Finger Lakes	Adam C. Boese	Genesee	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
				Technical Services, FlexTech Consultant Selecti..	4,535
		Livingston	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	4,395
				Technical Services, FlexTech Consultant Selecti..	2,500
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
				Technical Services, FlexTech Consultant Selecti..	3,015
		Ontario	NYS Electric and Gas	Technical Services, FlexTech Consultant Selecti..	2,500
				Rochester Gas and El..	2,500
		Orleans	National Grid	Technical Services, FlexTech Consultant Selecti..	2,500
		Seneca	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
				Technical Services, FlexTech Consultant Selecti..	7,615
		Wyoming	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
				Technical Services, FlexTech Consultant Selecti..	7,500
	AES Monroe Solar B, LLC	Monroe	Rochester Gas and El..	>200KW PV, NY-Sun C/I	900,151
	AES Monroe Solar C, LLC	Monroe	Rochester Gas and El..	>200KW PV, NY-Sun C/I	1,066,679
	AES Monroe Solar D, LLC	Monroe	Rochester Gas and El..	>200KW PV, NY-Sun C/I	1,066,679
	AES Monroe Solar E, LLC	Monroe	Rochester Gas and El..	>200KW PV, NY-Sun C/I	1,066,679
	Antares Group, Inc.	Livingston	Rochester Gas and El..	INDUSTRIAL PROCESS EFFICIENCY, Technic..	3,567
		Wayne	NYS Electric and Gas	Industrial Process Effic, Technical Review and Pr..	13,342
	Apex Solar Power LLC	Monroe	National Grid	<200KW PV, NY Sun	8,750
		Wayne	Rochester Gas and El..	<200KW PV, NY Sun	5,040
	Arcadis of New York, Inc.	Ontario	Rochester Gas and El..	Technical Services, FlexTech Consultant Selecti..	2,500
	Bergmann Associates	Monroe	Rochester Gas and Electric	Commercial Real Estate Ten, Bergmann-1343 Lo..	5,000
				Flexible Tech Assistance, FlexTech Consultant S..	11,050
				Industrial Process Effic, Technical Review and Pr..	5,580
				INDUSTRIAL PROCESS EFFICIENCY, Technic..	12,720
	Bonduelle	Genesee	National Grid	Industrial Process Effic, Industrial Process Efficie..	31,590
	Buffalo Renewables, Inc.	Genesee	National Grid	Small Wind, Wind Turbine Incentive	257,000
	Buffalo Solar Solutions Inc	Wyoming	National Grid	<200KW PV, NY Sun	8,750
			NYS Electric and Gas	<200KW PV, NY Sun	10,162
	C.J. Brown Energy, P.C.	Genesee	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	3,497
		Monroe	Rochester Gas and El..	Flexible Tech Assistance, FlexTech Consultant S..	1,909
		Orleans	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	3,788
		Wyoming	Rochester Gas and El..	Technical Services, FlexTech Consultant Selecti..	5,997
	Callanan Industries	Monroe	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficie..	150,780
	CHA Consulting Inc.	Monroe	Rochester Gas and Electric	Flexible Tech Assistance, FlexTech Consultant S..	9,800
				Industrial Process Effic, Technical Review and Pr..	61,000
		Wayne	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant S..	25,500
	CIR ELECTRICAL CONSTRU..	Genesee	National Grid	<200KW PV, NY Sun	5,355
	City of Geneva	Ontario	NYS Electric and Gas	Clean Energy Communities, City of Geneva	50,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Finger Lakes	City of Rochester	Monroe	Rochester Gas and Electric	Clean Energy Communities, City of Rochester	250,000
				Community RH&C, PON3723 RH&C Campaigns	150,000
	CNY Solar, Inc.	Wayne	NYS Electric and Gas	<200KW PV, NY Sun	8,694
	CSA Parma Solar 1, LLC	Monroe	Rochester Gas and El..	>200KW PV, NY Sun C/I	1,047,107
	DePaul Properties, Inc.	Wyoming	NYS Electric and Gas	Low Rise New Construction, New Construction	48,000
	Dolomite Products Group, Inc.	Monroe	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficie..	9,204
		Ontario	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficie..	44,897
	Earth Sensitive Solutions, LLC	Monroe	Rochester Gas and El..	Geothermal Incentive Program, Large-Scale GS..	564,648
	Ecovis, Inc.	Monroe	National Grid	<200KW PV, NY-Sun	8
			Rochester Gas and El..	<200KW PV, NY Sun	6,468
	EMCOR Services Betlem	Monroe	Rochester Gas and El..	Flexible Tech Assistance, FlexTech Consultant S..	17,985
	Energy & Resource Solutions,..	Wyoming	National Grid	Technical Services, FlexTech Consultant Selecti..	2,500
	Erdman Anthony & Associates, Inc.	Monroe	Rochester Gas and Electric	Industrial Process Effic, Technical Review and Pr..	5,685
				INDUSTRIAL PROCESS EFFICIENCY, Technic..	2,852
	Fort Hill Development Fund C..	Ontario	Rochester Gas and El..	Multifam Performance Pgm, Multifamily	39,900
	Frontier Energy, Inc.	Ontario	NYS Electric and Gas	Industrial Process Effic, Technical Review_Prgm ..	2,560
	Garlock Sealing Technologies..	Wayne	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	7,231
	Genesis Housing Developmen..	Ontario	NYS Electric and Gas	Low Rise New Construction, New Construction	91,800
	Geotherm Inc.	Ontario	Rochester Gas and El..	<200KW PV, NY Sun	5,380
		Orleans	National Grid	<200KW PV, NY Sun	5,684
	Gleason Works	Monroe	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficie..	53,820
	Halcyon, Inc.	Seneca	NYS Electric and Gas	<200KW PV, NY Sun	5,145
	High Tech Rochester Inc.	Monroe	Rochester Gas and El..	M-Corps, ACT Prototypes to Mass Prod NY	2,000,000
	Invenergy Wind, LLC	Wyoming	NYS Electric and Gas	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	953,940
	Jones Lang LaSalle Americas,..	Monroe	Rochester Gas and El..	Real Time Enrgy Management, JLL - 50 E Broad ..	73,739
	LaBella Associates, P.C.	Genesee	National Grid	Flexible Tech Assistance, FlexTech Consultant S..	27,750
		Monroe	Rochester Gas and Electric	Flexible Tech Assistance, FlexTech Consultant S..	12,000
				Industrial Process Effic, Technical Review and Pr..	1,455
	M/E Engineering, P.C.	Genesee	National Grid	Industrial Process Effic, Technical Review and Pr..	6,850
	Mizkan Americas, Inc.	Wayne	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficie..	49,535
	Monroe County	Monroe	Rochester Gas and El..	EXISTING FACILITIES, EFP2627 - County of Mo..	16,088
	Morton Salt Inc	Wyoming	Municipal Utilities	INDUSTRIAL PROCESS EFFICIENCY, Industria..	34,368
	NP Environmental LLC	Seneca	NYS Electric and Gas	Geothermal Incentive Program, Large-Scale GS..	24,696
	NY RNM Project2, LLC	Genesee	National Grid	>200KW PV, NY Sun C&I	27,627
	NY RNM Project3, LLC	Genesee	National Grid	>200KW PV, NY-Sun C/I	30,649
	OFD Foods	Monroe	National Grid	Industrial Process Effic, Industrial Process Efficie..	80,678
	Pactiv Corp.	Ontario	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficie..	135,784
	Paradise Energy Solutions, LL..	Wayne	Rochester Gas and El..	<200KW PV, NY Sun	9,984
	Pathstone Housing Action Cor..	Monroe	Rochester Gas and El..	Low Rise New Construction, New Construction	153,500
	Powerhouse Dynamics, Inc	Genesee	National Grid	Real Time Enrgy Management, Powerhouse-Five..	1,984
		Monroe	Rochester Gas and El..	Real Time Enrgy Management, Powerhouse-Five..	3,967
		Ontario	Rochester Gas and El..	Real Time Enrgy Management, Powerhouse-Five..	1,984
	QwikSolar, LLC	Ontario	NYS Electric and Gas	<200KW PV, NY Sun	7,182
			Rochester Gas and El..	<200KW PV, NY Sun	7,781
	Renovus Energy, Inc.	Seneca	NYS Electric and Gas	<200KW PV, NY Sun	14,283
	RIT HENRIETTA SOLAR 1, L..	Monroe	Rochester Gas and El..	>200KW PV, NY Sun C/I	447,261
	Rochester Institute of Technol..	Monroe	Rochester Gas and El..	NEW CONSTRUCTION PROGRAM, NCP14065 ..	34,810
	RRH PARMA SOLAR 1 LLC	Monroe	Municipal Utilities	>200KW PV, NY-Sun C&I	700,067
				>200KW PV, NYSUN C&I	1,062,226
	Ryan Homes (Virginia)	Ontario	Rochester Gas and El..	Low Rise New Construction, New Construction	247,600
	Seneca County	Seneca	NYS Electric and Gas	Clean Energy Communities, CEC300326 - Senec..	50,000
	Solar Liberty Energy Systems,..	Orleans	National Grid	<200KW PV, NY Sun	5,150

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Finger Lakes	Stantec Consulting Services, I..	Monroe	Rochester Gas and El..	Industrial Process Effic, Technical Review and Pr..	6,756	
	Sustainable Energy Developments Inc.	Livingston	National Grid	<200KW PV, NY Sun	6,405	
			Rochester Gas and El..	<200KW PV, NY Sun	8,540	
		Monroe	National Grid	<200KW PV, NY Sun	6,512	
			Rochester Gas and El..	<200KW PV, NY Sun	24,895	
		Ontario	Rochester Gas and El..	<200KW PV, NY Sun	10,546	
		Wayne	Rochester Gas and El..	<200KW PV, NY Sun	11,193	
	SWBR Architecture, Engineeri..	Monroe	Rochester Gas and El..	Retrofit NY, Multifamily	75,000	
	Taitem Engineering, P.C.	Ontario	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant S..	2,814	
	Town of Avon	Livingston	National Grid	Clean Energy Communities, Town of Avon	50,000	
	Town of Batavia	Genesee	National Grid	Clean Energy Communities, Town of Batavia	100,000	
	Town of Irondequoit	Monroe	Rochester Gas and El..	Clean Energy Communities, Town of Irondequoit	250,000	
	Town of Pittsford	Monroe	Rochester Gas and El..	Clean Energy Communities, CEC300390 - Town ..	50,000	
	University of Rochester	Monroe	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficie..	384,482	
	Village of Bergen	Genesee	Municipal Utilities	Clean Energy Communities, PON 3298 CEC	50,000	
	Village of Churchville	Monroe	Municipal Utilities	CLEANER GREENER COMMUNITIES, Village o..	100,000	
	Village of Livonia	Livingston	National Grid	Clean Energy Communities, CEC300387 - Villag..	50,000	
	Village of Spencerport	Monroe	Municipal Utilities	CLEANER GREENER COMMUNITIES, Village o..	100,000	
	Viola Homes Inc.	Livingston	National Grid	<200KW PV, NY Sun	8,694	
		Monroe	Rochester Gas and El..	<200KW PV, NY Sun	6,076	
		Ontario	Rochester Gas and El..	<200KW PV, NY Sun	53,568	
	Wendel Energy Services, LLC	Orleans	National Grid	Flexible Tech Assistance, FlexTech Consultant S..	22,500	
	Wyoming County	Wyoming	NYS Electric and Gas	Clean Energy Communities, PON 3298 CEC	150,000	
	Xerox Corp	Monroe	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficie..	25,843	
		Total				14,986,255
	Long Island	110 Petroleum Corp	Suffolk	Long Island Power Au..	FUEL NY, PGI00278 - 110 Petroleum Corp	7,650
		1185 Straight Path Corp.	Suffolk	Long Island Power Au..	FUEL NY, PGI00122 - 1185 Straight Path	23,556
		Amphora Oil and Gas	Suffolk	Long Island Power Au..	FUEL NY, PGI00115 - Amphora Oil and Gas	101,264
		Best Energy Power	Nassau	Long Island Power Au..	<200KW PV, NY Sun	131,770
		Bolla Operating LI Corp.	Nassau	Long Island Power Authority	FUEL NY, PGI00102 - Bolla Operating LI	25,300
FUEL NY, PGI00142 - Bolla Operating LI					13,733	
Suffolk			Long Island Power Authority		FUEL NY, PGI00032 - Bolla Operating LI	26,014
					FUEL NY, PGI00088 - Bolla Operating LI	3,030
C&S Oil Corporation		Nassau	Long Island Power Au..	FUEL NY, PGI00121 - C&S Oil Corporation	29,100	
Car Care of Manhasset Inc		Nassau	Long Island Power Au..	FUEL NY, PGI00107 - Car Care of Manhass	96,128	
East Hills Autofix LLC		Nassau	Long Island Power Au..	FUEL NY, PGI00011 - East Hills Autofix	35,647	
Empower CES, LLC		Nassau	Long Island Power Au..	<200KW PV, NY Sun	221,494	
Forest Avenue Service Station..		Nassau	Long Island Power Au..	FUEL NY, PGI00195 - Forest Avenue Servi	13,703	
Harvest Power, LLC		Suffolk	Long Island Power Au..	<200KW PV, NY Sun	57,860	
Inc.Village of Williston Park		Nassau	Long Island Power Au..	CLEANER GREENER COMMUNITIES, Village o..	50,000	
Incorporated Village of Roslyn..		Nassau	Long Island Power Au..	CLEANER GREENER COMMUNITIES, Roslyn ..	50,000	
Incorporated Village of Upper ..		Nassau	Long Island Power Au..	CLEANER GREENER COMMUNITIES, Upper Br..	100,000	
Leon Petroleum		Nassau	Long Island Power Au..	FUEL NY, PGI00274 - Leon Petroleum	45,750	
Long Island Power Solutions		Nassau	Long Island Power Au..	<200KW PV, NY Sun	313	
		Suffolk	Long Island Power Au..	<200KW PV, NY Sun	8,630	
MCA SERVICE CORP		Suffolk	Long Island Power Au..	FUEL NY, PGI00205 - MCA Service Corp.	2,490	
Merrick Bellmore Service Cent..		Nassau	Long Island Power Au..	FUEL NY, GSP00777 - Merrick Bellmore S	11,559	
MH One Enterprise Inc		Suffolk	Long Island Power Au..	FUEL NY, PGI00004 - MH One Enterprise	48,923	
Midpoint Energy Inc		Suffolk	Long Island Power Au..	FUEL NY, PGI00116 - Midpoint Energy Inc	34,824	
North Star Energy Inc		Suffolk	Long Island Power Au..	FUEL NY, PGI00117 - North Star Energy	89,712	
OK Petroleum Distribution Corp		Nassau	Long Island Power Authority	FUEL NY, PGI00158 - OK Petroleum Distri	13,843	
				FUEL NY, PGI00196 - OK Petroleum Distri	39,525	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Long Island	OK Petroleum Distribution Corp	Suffolk	Long Island Power Authority	FUEL NY, PGI00123 - OK Petroleum Distri	13,195
				FUEL NY, PGI00161 - OK Petroleum Distri	23,635
	Pinsu Inc.	Suffolk	Long Island Power Au..	FUEL NY, PGI00206 - Pinsu Inc.	55,911
	PMG Northeast LLC	Nassau	Long Island Power Au..	FUEL NY, PGI00181 - PMG Northeast LLC	24,177
		Suffolk	Long Island Power Authority	FUEL NY, PGI00024 - PMG Northeast LLC	29,065
				FUEL NY, PGI00074 - PMG Northeast LLC	24,721
				FUEL NY, PGI00075 - PMG Northeast LLC	21,268
	SuNation Solar Systems, Inc.	Suffolk	Long Island Power Au..	<200KW PV, NY Sun	35,088
	SUNRISE ELECTRICAL SERVICES	Nassau	Long Island Power Au..	<200KW PV, NY Sun	196,680
		Suffolk	Long Island Power Authority	<200KW PV, NY Sun	809,312
				<200KW PV, NY-Sun	152,880
	Town of Brookhaven	Suffolk	Long Island Power Au..	CLEANER GREENER COMMUNITIES, Town of ..	150,000
	Trisul Inc	Suffolk	Long Island Power Au..	FUEL NY, PGI00145 - Trisul Inc.	58,321
	Village of Centre Island	Nassau	Long Island Power Au..	CLEANER GREENER COMMUNITIES, Village o..	50,000
	Village of Sea Cliff	Nassau	Long Island Power Au..	CLEANER GREENER COMMUNITIES, Village o..	50,000
	Wellwood Energy	Suffolk	Long Island Power Au..	FUEL NY, PGI00115 - Wellwood Energy	65,595
	Total				3,041,665
Mid-Hudson	Adam C. Boese	Orange	Orange and Rockland Utilities	Agriculture Energy Eff Pgm, FlexTech Consultant..	20,000
				Technical Services, FlexTech Consultant Selecti..	2,500
		Putnam	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
		Sullivan	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
				Technical Services, FlexTech Consultant Selecti..	2,500
		Ulster	Central Hudson Gas a..	Agriculture Energy Eff Pgm, FlexTech Consultant..	16,770
	Adelaar HWP, LP	Sullivan	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP13170 ..	220,000
	AES Wawarsing Solar, LLC	Ulster	Central Hudson Gas a..	>200KW PV, NY-Sun C/I	317,579
	All HVAC Service Co. Inc	Westchester	Consolidated Edison	Commercial Real Estate Ten, Bright Energy-Multi..	17,987
	Altanova LLC	Orange	Orange and Rockland..	Commercial Real Estate Ten, Altanova - Multisite..	14,991
		Rockland	Orange and Rockland..	Commercial Real Estate Ten, Altanova - Multisite..	9,994
	AME Zion Trinity HDFC	Dutchess	Central Hudson Gas a..	Multifam Performance Pgm, Multifamily	140,000
	American Energy Care, Inc.	Sullivan	NYS Electric and Gas	<200KW PV, NY Sun	5,208
	Antares Group, Inc.	Sullivan	NYS Electric and Gas	Industrial Process Effic, Technical Review and Pr..	757
	Apex Solar Power LLC	Orange	Orange and Rockland..	<200KW PV, NY Sun	6,300
	Arcadis of New York, Inc.	Dutchess	Central Hudson Gas a..	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
	Arcadis U.S., Inc.	Orange	Central Hudson Gas a..	Industrial Process Effic, Tech Review & Program ..	1,893
	Arlington Central School Distri..	Dutchess	Central Hudson Gas a..	EXISTING FACILITIES, EFP2628 - Arlington CSD	286,993
	Best Energy Power	Westchester	Consolidated Edison	<200KW PV, NY Sun	8,712
	Bloomberg, L.P.	Rockland	Orange and Rockland..	Industrial Process Effic, Industrial Process Efficie..	466,251
	Blue Stone Solar, LLC	Ulster	Central Hudson Gas a..	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	16,495,500
	Borrego Solar Systems, Inc.	Orange	Orange and Rockland..	>200KW PV, NY Sun	1,751,750
	C&S Engineers, Inc.	Ulster	Central Hudson Gas a..	Flexible Tech Assistance, FlexTech Consultant S..	34,126
	Callanan Industries	Ulster	Central Hudson Gas a..	Industrial Process Effic, Industrial Process Efficie..	12,302
	Catskill Mountainkeeper, Inc	Sullivan	NYS Electric and Gas	Community RH&C, PON3723 RH&C Campaigns	150,000
	Chester NY 1, LLC	Orange	Orange and Rockland..	>200KW PV, NY-Sun C/I	273,415
	City of Beacon	Dutchess	Central Hudson Gas a..	Clean Energy Communities, City of Beacon	50,000
	Clean Energy Collective, LLC	Orange	Central Hudson Gas a..	>200KW PV, NY Sun	718,200
			Orange and Rockland..	>200KW PV, NY Sun	1,030,750
		Westchester	NYS Electric and Gas	>200KW PV, NY Sun	3,542,871
	CMR Solar LLC	Orange	Orange and Rockland..	>200KW PV, NY-Sun C/I	1,183,531
	Code Green Solutions, Inc.	Westchester	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant S..	40,000
	Cornell Cooperative Ext. Dutc..	Dutchess	Central Hudson Gas a..	Community Energy Engagement, CEEP Mid-Hud..	597,848
	Croton Energy Group, Inc.	Westchester	Consolidated Edison	<200KW PV, NY Sun	5,400
	Cutone & Company	Westchester	Consolidated Edison	Commercial Real Estate Ten, LCA - 120 Bloomin..	6,620

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	Cutone & Company Consultants, LLC	Westchester	Consolidated Edison	Commercial Real Estate Ten, LCA - 245 Main St ..	6,400
				Commercial Real Estate Ten, LCA - 629 5th Ave ..	6,400
	Cypress Creek Renewables L..	Orange	Orange and Rockland..	>200KW PV, NY Sun	654,947
	D.L. English Consulting, Inc.	Westchester	Consolidated Edison	OTHER PROGRAM AREA, Indian Point Consult..	4,190
	Daybreak Solar, LLC	Ulster	Central Hudson Gas a..	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	22,824,000
	Dual Fuel Corp	Westchester	Consolidated Edison	Real Time Enrgy Management, Dual Fuel-100 La..	23,520
	Dynamic Energy Solutions, LL..	Westchester	Consolidated Edison	NY Sun	97,568
	EcoMen Solar, LLC	Orange	Central Hudson Gas a..	<200KW PV, NY Sun	7,004
	Eiger 3970 Consultants Inc.	Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	5,376
			NYS Electric and Gas	<200KW PV, NY Sun	8,400
	Empire Solar Solutions LLC	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	13,677
		Orange	NYS Electric and Gas	<200KW PV, NY Sun	5,355
			Orange and Rockland..	<200KW PV, NY Sun	5,460
		Sullivan	NYS Electric and Gas	<200KW PV, NY Sun	8,750
		Westchester	NYS Electric and Gas	<200KW PV, NY Sun	5,040
	Empower CES, LLC	Westchester	Consolidated Edison	<200KW PV, NY Sun	5,040
	Energy & Resource Solutions, Inc.	Ulster	Central Hudson Gas a..	Industrial Process Effic, Technical Review and Pr..	5,300
		Westchester	Consolidated Edison	Industrial Process Effic, Technical Review and Pr..	11,454
	Energy Improvement Corporation	Westchester	Consolidated Edison	CLEANER GREENER COMMUNITIES, CGC398..	1,542,240
			NYS Electric and Gas	Community RH&C, PON3723 RH&C Campaigns	200,000
	Florenton River LLC	Rockland	Orange and Rockland..	<200KW PV, NY Sun	12,903
		Westchester	Consolidated Edison	<200KW PV, NY Sun	5,548
	Gateway Energy Services Gro..	Westchester	Consolidated Edison	EXISTING FACILITIES, Gateway One CHP Proj..	1,189,604
	GB Lighting Corp	Westchester	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - GB Lighting	11,760
	George J. Martin & Son	Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	218,781
	Global Montello Group Corp.	Westchester	Consolidated Edison	FUEL NY, PGI00208 - Global Montello Gro	30,035
	Goldman Copeland Associate..	Westchester	Consolidated Edison	Commercial Real Estate Ten, Goldman-2000 We..	11,000
	Greater Hudson Bank	Rockland	Orange and Rockland..	NY-SUN, Manhattan Beer Suffern1	248,002
	Green Hybrid Energy Solution..	Westchester	NYS Electric and Gas	<200KW PV, NY Sun	74,498
	Greenville NY 1, LLC	Orange	Orange and Rockland..	>200KW PV, NY-Sun C/I	651,990
	Harvest Power, LLC	Westchester	Consolidated Edison	NY Sun	88,200
	Healthy Home Energy & Cons..	Westchester	NYS Electric and Gas	<200KW PV, NY Sun	6,160
	Hudson River Trading	Westchester	Consolidated Edison	Industrial Process Effic, Industrial Process Efficie..	149,666
	Hudson Solar	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	16,889
		Putnam	NYS Electric and Gas	<200KW PV, NY Sun	44,922
	IBM - East Fishkill Site	Dutchess	Central Hudson Gas a..	Industrial Process Effic, Industrial Process Efficie..	788,986
	Infinity Solar Systems, LLC	Rockland	Orange and Rockland..	<200KW PV, NY Sun	13,187
	Little Pond Solar, LLC	Orange	Orange and Rockland..	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	18,026,022
	MacQuesten Construction Ma..	Westchester	Consolidated Edison	Multifam New Construction, New Construction	100,000
	Magruder Solar, LLC	Ulster	Central Hudson Gas a..	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	19,331,960
	Monolith Solar Associates, LLC	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	28,080
	Monticello Meadows LLC	Sullivan	NYS Electric and Gas	Multifam Performance Pgm, Multifamily	123,200
	Mount Hope Solar 1, LLC	Orange	Orange and Rockland..	>200KW PV, NY-Sun C&I	1,045,976
	Mount Hope Solar 2, LLC	Orange	Orange and Rockland..	>200KW PV, NY-Sun C/I	1,045,976
	New York State Solar Farm Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	5,150
		Orange	Orange and Rockland..	<200KW PV, NY Sun	10,873
		Sullivan	Orange and Rockland..	<200KW PV, NY Sun	7,439
		Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	38,826
	Nexant, Incorporated	Westchester	Consolidated Edison	Industrial Process Effic, Technical Review and Pr..	12,650
	Novel Approaches Solar Appli..	Sullivan	Central Hudson Gas a..	<200KW PV, NY Sun	13,056
	NY RNM Project1, LLC	Orange	Orange and Rockland Utilities	NY-Sun	990,966
				NY-SUN C&I	990,966

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	NYS Office of Parks, Recreati..	Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	16,515
	OLA Consulting Engineers, P...	Westchester	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant S..	37,005
	Pepsico, Inc.	Westchester	Consolidated Edison	Commercial New Construc, NCP16005 - Technic..	218,458
	Powerhouse Dynamics, Inc	Rockland	Orange and Rockland..	Real Time Enrgy Management, Powerhouse-Five..	1,984
		Ulster	Central Hudson Gas a..	Real Time Enrgy Management, Powerhouse-Five..	1,984
		Westchester	Consolidated Edison	Real Time Enrgy Management, Powerhouse-Five..	3,967
	Powerlutions, LLC	Rockland	Orange and Rockland..	<200KW PV, NY Sun	21
	Regeneron Pharmaceuticals I..	Westchester	Consolidated Edison	Commercial New Construc, NCP15063 - 767 Old..	95,160
	Riley Road Windsor, LLC	Orange	Central Hudson Gas and Electric	>200KW PV, NY Sun C/I	692,900
				>200KW PV, NY-Sun C/I	692,900
	River Architects, PLLC	Sullivan	NYS Electric and Gas	Commercial New Construc, River Arch.-RFP377..	23,580
	Ross Solar Group, LLC	Westchester	Consolidated Edison	<200KW PV, NY Sun	8,614
	Safari Energy LLC	Rockland	Orange and Rockland..	<200KW PV, NY Sun	69,120
		Westchester	NYS Electric and Gas	NY Sun	34,560
	Seed Renewables Inc.	Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	5,583
	Shrub Oak International School	Westchester	Consolidated Edison	Commercial New Construc, NCP15055 - Shrub ..	84,476
	Siemens Industry, Inc.	Rockland	Orange and Rockland..	<200KW PV, NY Sun	474,076
	Skae Power Solutions	Westchester	Consolidated Edison	Industrial Process Effic, Industrial Process Efficie..	166,550
	Socore Energy, LLC	Westchester	Consolidated Edison	>200KW PV, NY Sun	311,485
	Solar Alchemy, Inc.	Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	7,110
	Solar Landscape, LLC	Orange	Central Hudson Gas a..	>200KW PV, NY Sun	1,385,800
	Solar Liberty Energy Systems, Inc	Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	107,352
		Westchester	Consolidated Edison	<200KW PV, NY Sun	5,472
	SolarCity Corporation	Orange	Orange and Rockland..	<200KW PV, NY Sun	5,005
		Rockland	Orange and Rockland..	<200KW PV, NY Sun	6,505
		Westchester	Consolidated Edison	>200KW PV, NY Sun	236,308
	Speyside Holdings, LLC	Orange	Orange and Rockland..	Industrial Process Effic, Industrial Process Efficie..	29,628
	State University of NY @ New..	Ulster	Central Hudson Gas a..	Technical Services, OsEM7-C SUNY New Paltz	212,143
	Steven Winter Associates, Inc.	Westchester	Consolidated Edison	Real Time Enrgy Management, SWA-85 Riverdal..	155,000
	Sun Source Technologies	Orange	Orange and Rockland..	<200KW PV, NY Sun	7,875
		Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	40,250
	Sundog Solar, Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	10,301
	Sunlight Beacon LLC	Dutchess	Central Hudson Gas a..	>200KW PV, NY-Sun C/I	418,879
	Sunlight General Capital LLC	Westchester	Consolidated Edison	NY Sun	22,744
	Sunnova Energy Corp	Westchester	Consolidated Edison	<200KW PV, NY Sun	5,175
	SunPower Capital, LLC	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	10,900
		Orange	Central Hudson Gas a..	<200KW PV, NY Sun	10,080
			Orange and Rockland..	<200KW PV, NY Sun	21,063
		Rockland	Orange and Rockland Utilities	<200KW PV, NY Sun	6,300
				<200KW PV, NY-Sun	6,736
		Ulster	Central Hudson Gas a..	<200KW PV, NY Sun	7,560
	SUNRISE ELECTRICAL SER..	Orange	Central Hudson Gas a..	<200KW PV, NY Sun	257,552
	Sunrise Solar Solutions, LLC	Westchester	Consolidated Edison	<200KW PV, NY Sun	19,698
			NYS Electric and Gas	<200KW PV, NY Sun	7,325
	SunRun, Inc	Rockland	Orange and Rockland..	<200KW PV, NY Sun	5,212
		Westchester	Consolidated Edison	<200KW PV, NY Sun	6,847
	SUNY New Paltz Foundation	Ulster	Central Hudson Gas a..	NEW CONSTRUCTION PROGRAM, NCP11824 ..	40,622
	Sustainable Westchester	Westchester	Consolidated Edison	Community RH&C, PON3723 RH&C Campaigns	200,000
	Tern Construction & Develop..	Dutchess	Central Hudson Gas a..	Low Rise New Construction, New Construction	63,800
	The Craft Building Associates ..	Westchester	Consolidated Edison	Multifam New Construction, New Construction	65,000
	Town of Ossining	Westchester	Consolidated Edison	CLEANER GREENER COMMUNITIES, Town of ..	50,000
	Trane	Westchester	Consolidated Edison	Real Time Enrgy Management, Trane-40 Sunshi..	42,263

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	Ulster, County of	Ulster	Central Hudson Gas a..	Clean Energy Communities, CEC510646 Ulster ..	250,000
	Vassar College	Dutchess	Central Hudson Gas a..	Technical Services, OsEM8-C Vassar College	149,000
	Village of Dobbs Ferry	Westchester	Consolidated Edison	CLEANER GREENER COMMUNITIES, CEC500..	100,000
	Village of Hastings on Hudson	Westchester	Consolidated Edison	CLEANER GREENER COMMUNITIES, Hastings..	50,000
	Vivint Solar	Dutchess	Central Hudson Gas a..	<200KW PV, NY Sun	5,471
		Orange	Central Hudson Gas a..	<200KW PV, NY Sun	13,129
	Westtown NY 1, LLC	Orange	Orange and Rockland..	>200KW PV, NY-Sun C&I	1,075,574
	Willdan Energy Solutions	Dutchess	Central Hudson Gas a..	Industrial Process Effic, Technical Review and Pr..	27,186
		Westchester	Consolidated Edison	Commercial Real Estate Ten, Willdan-1 Wartburg..	41,904
	You Save Green Incorporated	Orange	Central Hudson Gas a..	<200KW PV, NY Sun	5,922
		Westchester	Consolidated Edison	<200KW PV, NY Sun	11,517
	Yung-Sam Ski, Ltd	Orange	Orange and Rockland..	Industrial Process Effic, Industrial Process Efficie..	165,000
	Total				106,521,784
Mohawk Valley	Adam C. Boese	Fulton	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
				Technical Services, FlexTech Consultant Selecti..	2,500
		Herkimer	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
				Technical Services, FlexTech Consultant Selecti..	2,500
		Oneida	Municipal Utilities	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
			National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	9,170
				Technical Services, FlexTech Consultant Selecti..	7,500
		Otsego	NYS Electric and Gas	Technical Services, FlexTech Consultant Selecti..	5,000
	AES Broadalbin Solar, LLC	Fulton	National Grid	>200KW PV, NY Sun C/I	542,875
	Albany Solar Solutions L.L.C.	Herkimer	National Grid	<200KW PV, NY-Sun	6,113
	Alternative Power Solutions of..	Oneida	National Grid	<200KW PV, NY Sun	14,464
	Apex Solar Power LLC	Montgomery	National Grid	<200KW PV, NY-Sun	6,230
	Blaise Enterprises Inc	Fulton	National Grid	Industrial Process Effic, Industrial Process Efficie..	90,000
	CHA Consulting Inc.	Oneida	National Grid	Flexible Tech Assistance, FlexTech Consultant S..	7,262
	City of Oneida Housing Author..	Oneida	National Grid	Low Rise New Construction, New Construction	50,000
	City of Utica	Oneida	National Grid	REVitalize, RFP 3584 Revitalize	65,000
	CNY Solar, Inc.	Oneida	National Grid	<200KW PV, NY Sun	33,115
	D. F. Brandt, Inc.	Oneida	National Grid	Industrial Process Effic, Industrial Process Efficie..	59,791
	Doherty Electric, LLC	Otsego	NYS Electric and Gas	<200KW PV, NY Sun	1,033
				<200KW PV, NY-Sun	394
	Double Lock Solar, LLC	Montgomery	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	19,646,730
	Downstream Construction, LLC	Oneida	National Grid	<200KW PV, NY-Sun	8,764
	EME Consulting Engineering Group, LLC	Herkimer	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
		Schoharie	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
	Erdman Anthony & Associates..	Schoharie	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
	Grissom Solar, LLC	Fulton	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	22,013,640
	Johnson Controls, Inc. (Syrac..	Montgomery	National Grid	Flexible Tech Assistance, FlexTech NYSERDA	26,265
	Kasselman Solar LLC	Fulton	National Grid	<200KW PV, NY Sun	6,930
		Otsego	NYS Electric and Gas	<200KW PV, NY Sun	6,092
	Kearsarge Johnstown 1 LLC	Fulton	National Grid	>200KW PV, NY-Sun C/I	976,413
	Kearsarge Johnstown 2 LLC	Fulton	National Grid	>200KW PV, NY-Sun C/I	976,413
	Kearsarge Oppenheim LLC	Fulton	National Grid	>200KW PV, NY-Sun C/I	976,413
	L&S Energy Services, Inc.	Montgomery	National Grid	Technical Services, FlexTech Consultant Selecti..	5,000
		Schoharie	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	7,500
				Technical Services, FlexTech Consultant Selecti..	2,500
	Mohawk Valley Community C..	Oneida	National Grid	REV Campus Challenge, RM20 - Mohawk Valley..	14,000
	Mohawk Valley Economic Dev..	Herkimer	Municipal Utilities	Community Energy Engagement, CEEP Mohawk..	390,000
	Monolith Solar Associates, LLC	Fulton	National Grid	<200KW PV, NY Sun	130,000
	Next Generation Solar, LLC	Oneida	National Grid	<200KW PV, NY Sun	8,698

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Mohawk Valley	Nickels Energy Solutions LLC	Oneida	NYS Electric and Gas	<200KW PV, NY Sun	5,434
	Norstar Solar LLC	Oneida	National Grid	>200KW PV, NY-SUN C&I (Assignment)	999,593
	NP Environmental LLC	Oneida	National Grid	Geothermal Incentive Program, Large-Scale GS..	47,520
	NY RNM Project4, LLC	Oneida	National Grid	>200KW PV, NY-SUN C&I	800,963
	O'Brien & Gere Engineers, Inc.	Oneida	National Grid	Flexible Tech Assistance, FlexTech Consultant S..	22,260
	Otsego County Conservation ..	Otsego	NYS Electric and Gas	Community RH&C, PON3723 RH&C Campaigns	150,000
	Powerhouse Dynamics, Inc	Oneida	National Grid	Real Time Enrgy Management, Powerhouse-Five..	1,984
	Redocs Inc	Oneida	National Grid	Commercial Real Estate Ten, REDOCS-Multisite..	1,994
	Roberto R Romano	Otsego	NYS Electric and Gas	Geothermal Incentive Program, Large-Scale GS..	18,540
	Rock District Solar, LLC	Schoharie	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	20,508,800
	SolarCity Corporation	Herkimer	National Grid	<200KW PV, NY Sun	5,231
		Oneida	National Grid	<200KW PV, NY Sun	5,119
	Sunny Knoll Solar, LLC	Schoharie	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	21,132,900
	Tayandenega Solar, LLC	Fulton	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	19,867,860
	The Radiant Store	Fulton	National Grid	Renewable Heat NY, Radiant Store - Rutkowski	12,000
		Schoharie	National Grid	Renewable Heat NY, Clean Heating & Cooling	25,070
	Vincent's Heating and Fuel Se..	Herkimer	National Grid	Renewable Heat NY, Vincent's Heating - Diorios	29,125
	Woods Valley Ski Area	Oneida	National Grid	Industrial Process Effic, Industrial Process Effic..	250,000
	Total				109,997,696
New York City	38 Astoria Owners Corp	Queens	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, M..	10,700
	59 West 35th Street Operator,..	New York	Consolidated Edison	Flexible Tech Assistance, FT11681 - Hampton In..	6,150
	174-02 Horace Harding Expre..	Queens	Consolidated Edison	FUEL NY, PGI00112 - 174-02 Horace Hardi	103,384
	375 Park Avenue Investors LP	New York	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - 375 Park ..	70,699
	680 St. Nicholas Owner LLC	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	78,400
	770 Electric Corp.	Bronx	Consolidated Edison	NY-Sun	19,500
		Queens	Long Island Power Au..	<200KW PV, NY Sun	29,862
	4201 Webster Realty LLC	Bronx	Consolidated Edison	FUEL NY, PGI00066 - 4201 Webster Realty	46,593
	Accord Power, Inc.	Queens	Consolidated Edison	<200KW PV, NY Sun	31,749
	Adam C. Boese	Queens	Consolidated Edison	Commercial Real Estate Ten, Daylight Savings-2..	5,000
	Aegis Energy Services Inc.	Bronx	Consolidated Edison	Combined Heat and Power, CHPA - Edenwald Y..	107,100
		Kings	Consolidated Edison	Combined Heat and Power, CHPA - Regina Pacis	63,000
	Aeonsolar	Kings	Consolidated Edison	<200KW PV, NY Sun	8,892
	Airport Enterprises Inc	Queens	Consolidated Edison	FUEL NY, PGI00292 - Airport Enterprises	6,950
	Albireo Energy, LLC	New York	Consolidated Edison	Real Time Enrgy Management, Albireo Energy-5..	155,000
				Real Time Enrgy Management, Albireo-48 Wall S..	89,759
	Alliance Energy LLC	Queens	Consolidated Edison	FUEL NY, PGI00103 - Alliance Energy LLC	18,484
	Alliance for Housing Inc.	Bronx	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, M..	16,200
	Altanova LLC	Kings	Consolidated Edison	Commercial Real Estate Ten, Altanova - NY Post..	9,994
		New York	Consolidated Edison	Commercial Real Estate Ten, Altanova-60 E 42n..	22,500
	American Solar Partners, LLC	New York	Consolidated Edison	NY-Sun	34,720
	Arcadis U.S., Inc.	New York	Consolidated Edison	EXISTING FACILITIES, Tech Review & Program..	7,819
	Arthur Kill Fuels LLC	Richmond	Consolidated Edison	FUEL NY, PGI00267 - Arthur Kill Fuels	10,200
	Barnard College	New York	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP12987 ..	189,032
	Baychester Petroleum LLC	Bronx	Consolidated Edison	FUEL NY, PGI00067 - Baychester Petroleu	4,048
	Best Energy Power	Kings	Consolidated Edison	<200KW PV, NY Sun	23,364
	Blue Pillar Inc.	New York	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - Blue Pillar	48,000
	Boston Properties	Kings	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP14016 ..	165,059
	BPP Kips Bay Holding LLC	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	342
				MULTIFAMILY PERFORMANCE PROGRAM, M..	41,125
	Bright Power, Inc.	Bronx	Consolidated Edison	<200KW PV, NY Sun	20,520
				NY-Sun	51,266
		Kings	Consolidated Edison	<200KW PV, NY Sun	42,256

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Bright Power, Inc.	Kings	Consolidated Edison	NY Sun	40,626
		New York	Consolidated Edison	<200KW PV, NY-Sun	11,503
				NY-Sun	47,160
				Retrofit NY, Multifamily	75,000
	Brooklyn SolarWorks LLC	Kings	Consolidated Edison	NY-Sun	33,500
		New York	Consolidated Edison	NY Sun	15,552
	Certified Heating Oils, Inc.	Richmond	Consolidated Edison	FUEL NY, PGI00220 - Certified Heating	38,302
				FUEL NY, PGI00225 - Certified Heating	18,000
	CHA Consulting Inc.	New York	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant C..	2,562
	Chris Benedict	New York	Consolidated Edison	Retrofit NY, Multifamily	75,000
	Citigroup Technology, Inc.	New York	Consolidated Edison	INDUSTRIAL PROCESS EFFICIENCY, Industria..	385,778
	Code Green Solutions, Inc.	Kings	Consolidated Edison	Commercial Real Estate Ten, Code Green-1290 ..	10,000
				Commercial Real Estate Ten, CodeGreen-1515 ..	5,000
				Commercial Real Estate Ten, CodeGreen-1515 ..	5,000
		New York	Consolidated Edison	Commercial Real Estate Ten, CodeGreen_Mada..	20,000
				Flexible Tech Assistance, FlexTech Consultant S..	7,500
	Cogeneration Contractors, Inc.	Kings	Consolidated Edison	COMBINED HEAT AND POWER, CHPA - Memo..	1,485,000
	Control Solutions Group, Inc.	New York	Consolidated Edison	NYSERDA ADMINISTRATION, HVAC Maintena..	12,571
	Cross Bronx Services Station ..	Bronx	Consolidated Edison	FUEL NY, PGI00065 - Cross Bronx Service	20,931
	Cutone & Company Consultants, LLC	Bronx	Consolidated Edison	Commercial Real Estate Ten, LCA-2488 Grand C..	5,750
				EXISTING FACILITIES, DMP Bonus - LCA	64,057
		Kings	Consolidated Edison	Commercial Real Estate Ten, LCA-JPMC#1-Multi..	10,893
				Commercial Real Estate Ten, LCA-JPMC#2 Multi..	24,933
				Commercial Real Estate Ten, LCA-JPMC#4-Multi..	10,817
		New York	Consolidated Edison	Commercial Real Estate Ten, LCA - 28 Liberty St..	16,320
				Commercial Real Estate Ten, LCA - 79 Walker St..	6,180
				Commercial Real Estate Ten, LCA - 200 Lexingto..	12,093
				Commercial Real Estate Ten, LCAssociates-60 L..	14,050
				EXISTING FACILITIES, DMP Bonus - LCA	318,335
		Queens	Consolidated Edison	Commercial Real Estate Ten, LCA-JPMC#1-Multi..	13,707
				Commercial Real Estate Ten, LCA-JPMC#3 Multi..	18,955
				Commercial Real Estate Ten, LCA-JPMC#4-Multi..	12,565
	DMV EQUITY, INC.	Bronx	Consolidated Edison	<200KW PV, NY Sun	5,832
	Dual Fuel Corp	Bronx	Consolidated Edison	Real Time Enrgy Management, Dual Fuel Corp-8..	29,340
				Real Time Enrgy Management, Dual Fuel-3400 F..	151,416
				Real Time Enrgy Management, Dual Fuel-Multisit..	153,180
		New York	Consolidated Edison	Real Time Enrgy Management, Dual Fuel-36 E 2..	30,900
				Real Time Enrgy Management, Dual Fuel-151 E ..	34,170
				Real Time Enrgy Management, Dual Fuel-215 E ..	11,700
				Real Time Enrgy Management, Dual Fuel-220 E ..	21,600
				Real Time Enrgy Management, Dual Fuel-447 Fo..	23,700
	Dynamic Energy Solutions, LLC	Bronx	Consolidated Edison	NY Sun	142,896
		Kings	Consolidated Edison	NY Sun	44,048
	Eagle's Nest Housing Develop..	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	21,000
	Ecosystem Energy Services U..	New York	Consolidated Edison	Combined Heat and Power, CHPA - StuyTown	1,485,000
	Eldor Contracting Corporation	Queens	Long Island Power Au..	<200KW PV, NY-Sun	25,898
	EME Consulting Engineering Group, LLC	Bronx	Consolidated Edison	Commercial New Construc, EME - EMP	18,750
		New York	Consolidated Edison	Real Time Enrgy Management, EME Group-240 ..	14,788
	Employee Leasing of Greater NY	Kings	Consolidated Edison	NY-SUN, Temp Employee Services	19,000
				NYSERDA ADMINISTRATION, Temp Employee ..	9,945
	Encompass Energy LLC	Bronx	Consolidated Edison	Commercial New Construc, EncompassEnergy-R..	14,588
	ENER-G Rudox, LLC	Bronx	Consolidated Edison	Combined Heat and Power, CHPA - Calvary Hos..	831,650

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	ENER-G Rudox, LLC	New York	Consolidated Edison	Combined Heat and Power, CHPA - 685 1st Ave..	432,381
				COMBINED HEAT AND POWER, CHPA - Micha..	154,747
				COMBINED HEAT AND POWER, CHPA - Mima ..	285,617
				Combined Heat and Power, CHPA - Westport	96,288
Energy & Resource Solutions, Inc.		Kings	Consolidated Edison	NEW CONSTRUCTION PROGRAM, Technical ..	15,970
		Queens	Consolidated Edison	NEW CONSTRUCTION PROGRAM, Technical ..	1,530
Energy Conservation & Suppl..		New York	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - Energy Co..	54,973
Energy Technology Savings, Inc.		New York	Consolidated Edison	Real Time Enrgy Management, Energy Tech-200..	9,900
				Real Time Enrgy Management, Energy Tech-Mul..	9,900
				Real Time Enrgy Management, Energy Tech-201..	9,360
				Real Time Enrgy Management, Energy Tech-552..	6,405
				Real Time Enrgy Management, Energy Tech-Mul..	31,560
Enertiv Inc.		New York	Consolidated Edison	Real Time Enrgy Management, Enertiv-415 W 13..	3,362
Evelar, Inc.		Kings	Consolidated Edison	<200KW PV, NY Sun	6,426
Fifth @ 42nd LLC		New York	Consolidated Edison	Flexible Tech Assistance, FT11673 - 5th@42-50..	13,420
First North American Holdings..		New York	Consolidated Edison	EXISTING FACILITIES, EFPCHP - PON1219	523,500
Flatiron Williamsburg Property..		Queens	Consolidated Edison	Commercial Real Estate Ten, Flat Iron-25 Main S..	5,000
FM Office Express		New York	Consolidated Edison	Furniture 1359 Broadway 15th	84,185
Fordham University		Bronx	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - Fordham ..	40,300
Forsyth Street Advisors, LLC		New York	Consolidated Edison	Retrofit NY, Multifamily	50,000
Fund for Public Housing, Inc.		Bronx	Consolidated Edison	NY-SUN, Affordable Solar NYCHA ACCESSo	110,093
GB Lighting Corp		Bronx	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - GB Lighting	5,216
		Kings	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - GB Lighting	13,207
		Queens	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - GB Lighting	4,555
		Richmond	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - GB Lighting	39,296
GCP 188th Realty Corp		Queens	Consolidated Edison	FUEL NY, PGI00007 - GCP 188th Realty Co	42,040
Global Montello Group Corp.		Bronx	Consolidated Edison	FUEL NY, PGI00193 - Global Montello Gro	22,380
Goldman Copeland Associates, P.C.	Kings		Consolidated Edison	Commercial Real Estate Ten, Goldman Copelan..	19,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
	New York		Consolidated Edison	Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman-280 Park..	10,997
				Flexible Tech Assistance, FlexTech Consultant S..	9,998
	Queens		Consolidated Edison	Commercial Real Estate Ten, GoldmanCopeland..	10,997
	Richmond		Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant S..	17,495
Goldman Sachs		New York	Consolidated Edison	Industrial Process Effic, Industrial Process Effic..	77,165
Greater Hudson Bank		Bronx	Consolidated Edison	>200KW PV, NY Sun C/I	805,344
Grid City Electric Corp		Queens	Consolidated Edison	<200KW PV, NY Sun	6,720
			Long Island Power Au..	<200KW PV, NY Sun	12,070
Group-S LLC		New York	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant S..	8,000
HB Architectural Lighting		New York	Consolidated Edison	Industrial Process Effic, Industrial Process Effic..	77,612
HEVO Inc.		Kings	Consolidated Edison	CLEAN TRANSPORTATION, PON 3198 HEVO	500,000
Hotel Gansevoort		New York	Consolidated Edison	Flexible Tech Assistance, FT11682 - Hotel Gans..	22,888
Housing Works		Kings	Consolidated Edison	Workforce Industry Partnership, PON 3715 Workf..	47,535
Hunts Point Cooperative Mark..		Bronx	Consolidated Edison	Industrial Process Effic, Industrial Process Effic..	80,394
IGS Ventures, Inc.		Kings	Consolidated Edison	>200KW PV, NY Sun C/I	189,814
INF Associates LLC		New York	Consolidated Edison	Commercial Real Estate Ten, INF - 201 E 42nd S..	57,048

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	INF Associates LLC	New York	Consolidated Edison	Commercial Real Estate Ten, INF - 205 East 42n..	30,000
				Commercial Real Estate Ten, INF - 598 Madison ..	5,000
				Commercial Real Estate Ten, INF Associ - 19 E ..	5,000
				Commercial Real Estate Ten, INF Associate-250 ..	5,000
				Commercial Real Estate Ten, INF Associates-60..	5,000
	IntelliGen Power Systems, LLC	New York	Consolidated Edison	Combined Heat and Power, CHPA - 1952-56 1st ..	791,280
				Combined Heat and Power, CHPA - 1962-66 1st ..	791,280
				Combined Heat and Power, CHPA - 1990 Lexing..	747,320
	Inverters Unlimited, Inc.	Queens	Consolidated Edison	NY Sun	27,885
	Kilowatt Engineering, Inc.	Kings	Consolidated Edison	Industrial Process Effic, Technical Review and Pr..	14,062
		New York	Consolidated Edison	Industrial Process Effic, Technical Review and Pr..	16,451
	Lantern Organization Inc.	New York	Consolidated Edison	Multifam New Construction, New Construction	63,800
	Lefrak Estates LP	New York	Consolidated Edison	Workforce Industry Partnership, PON 3715 Workf..	112,284
	Lincoln Center for the Perform..	New York	Consolidated Edison	Technical Services, OsEM10-Lincoln Center Perf..	126,230
	Macy's Inc.	New York	Consolidated Edison	EXISTING FACILITIES, EFP1750 - Macy's	468,477
	Mechanical Energy Solutions ..	New York	Consolidated Edison	Combined Heat and Power, CHPA - 1540 Broad..	1,581,964
	MHANY 2004 HDFC	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	77,700
	Michelangelo Preservation LLC	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	49,400
	Mount Sinai Medical Center	New York	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - Mt Sinai	180,000
				Technical Services, OsEM - Mount Sinai Hospital	214,000
	NBC Universal LLC	Kings	Consolidated Edison	Industrial Process Effic, Industrial Process Effic..	58,612
	New York Presbyterian Hospit..	Bronx	Consolidated Edison	EXISTING FACILITIES, Existing Facilities Progra..	87,694
	NJP Consulting Inc.	Richmond	Consolidated Edison	<200KW PV, NY-Sun	6,880
	Nor Crest Service Station Inc.	Queens	Consolidated Edison	FUEL NY, PGI00285 - Nor Crest Service S	19,100
	Nor Spring Service Station Inc.	Queens	Consolidated Edison	FUEL NY, PGI00291 - Nor Spring Service	10,100
	Nor-Cross Service Station Inc	Queens	Consolidated Edison	FUEL NY, PGI00207 - Nor-Cross Service	12,820
	Noresco LLC	Bronx	Consolidated Edison	Flexible Tech Assistance, FlexTech Consultant S..	8,067
	Northwell Health, Inc.	Queens	Consolidated Edison	Commercial New Construc, NCP15045-5925 Littl..	41,059
	NYCHA III Parent Housing De..	New York	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, M..	500
	NYS Office of Parks, Recreati..	Richmond	Consolidated Edison	<200KW PV, NY-Sun	13,455
	Offshore Electric Corp.	New York	Consolidated Edison	NYC Suite 1540 Electrical Work	17,496
	Ogden Cap Properties, LLC	New York	Consolidated Edison	Flexible Tech Assistance, FT11664 - Dorchester ..	8,758
				Flexible Tech Assistance, FT11665 - Normandie ..	9,724
				Flexible Tech Assistance, FT11666 - Windsor Co..	10,547
				Flexible Tech Assistance, FT11667 - Biltmore Pla..	9,329
	OnForce Solar	Kings	Consolidated Edison	<200KW PV, NY Sun	46,310
				NY Sun	82,620
	Paul Hastings LLP	New York	Consolidated Edison	MARKET PATHWAYS, CRETP - Paul Hastings -..	140,000
	Peninsula JV LLC	Bronx	Consolidated Edison	Multifam New Construction, New Construction	100,000
	Plaza Apartments Owner LLC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	53,200
	PMG Northeast LLC	Queens	Consolidated Edison	FUEL NY, PGI00050 - PMG Northeast LLC	21,434
	Powerhouse Dynamics, Inc	Kings	Consolidated Edison	Real Time Enrgy Management, Powerhouse-Five..	1,984
		Richmond	Consolidated Edison	Real Time Enrgy Management, Powerhouse-Five..	1,984
	Prescriptive Data	Kings	Consolidated Edison	Real Time Enrgy Management, PrescriptiveData-..	62,286
		New York	Consolidated Edison	Real Time Enrgy Management, Prescriptive-555 ..	37,223
	Quixotic Systems, Inc.	Queens	Consolidated Edison	>200KW PV, NY Sun	181,460
			Long Island Power Au..	<200KW PV, NY Sun	13,932
	R3 Energy Management Audit & Review, LLC	New York	Consolidated Edison	Real Time Enrgy Management, Jack Resnick-8 ..	17,760
				Real Time Enrgy Management, R3 - 880 3rd Ave..	18,960
	R. Edge Contracting LLC	Richmond	Consolidated Edison	NY Sun	171,072
	Randstad North America, Inc.	Kings	Consolidated Edison	CI Engy Siting & Soft Cost Red, Temp Services ..	21,000
				Electric Vehicles - Innovation, Temp Services Co..	42,000

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New York City	Randstad North America, Inc.	Kings	Consolidated Edison	NEW YORK GREEN BANK, Green Bank	6,500
	Redocs Inc	Bronx	Consolidated Edison	Commercial Real Estate Ten, REDOCS - 384 E ..	18,106
				Commercial Real Estate Ten, REDOCS-2488 Gr..	40,202
		Kings	Consolidated Edison	Commercial Real Estate Ten, REDOCS-18 Bridg..	14,855
				Commercial Real Estate Ten, REDOCS-250 Gre..	23,951
		New York	Consolidated Edison	Commercial Real Estate Ten, REDOCS - 54 W 3..	58,175
				Commercial Real Estate Ten, REDOCS - 421 7th..	44,865
				Commercial Real Estate Ten, Redocs-110 E 55th..	57,955
				Commercial Real Estate Ten, REDOCS-131 W 1..	39,880
				Commercial Real Estate Ten, REDOCS-209 Wes..	9,970
				Commercial Real Estate Ten, REDOCS-Multisite..	15,653
		Queens	Consolidated Edison	Commercial Real Estate Ten, REDOCS-39-01 M..	33,107
				Commercial Real Estate Ten, REDOCS-45-17 M..	10,967
				Commercial Real Estate Ten, REDOCS-Multisite..	14,656
	Remica Property Group Corp.	Kings	Consolidated Edison	FUEL NY, PGI00250 - Remica Property Gro	38,600
	Robert Derector Associates	Kings	Consolidated Edison	Commercial Real Estate Ten, Robert Derector-12..	19,400
		New York	Consolidated Edison	Commercial Real Estate Ten, Robert Derector_Bl..	17,750
				Commercial Real Estate Ten, Robert Derector-7 ..	5,000
				Commercial Real Estate Ten, Robert Derector-31..	28,250
				Commercial Real Estate Ten, Robert Derector-56..	5,000
	Rudin Management Co. Inc.	Kings	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - Rudin Man..	19,368
		New York	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - Rudin Man..	165,671
	RXR Realty LLC	Kings	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - RxR	2,000
		New York	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - RxR	55,954
	S. And T. Paneth M. And I. Br..	Kings	Consolidated Edison	Flexible Tech Assistance, FT11594 - Harborview ..	7,553
	Safari Energy LLC	Bronx	Consolidated Edison	NY Sun	79,440
		Kings	Consolidated Edison	NY Sun	65,124
	Schneider Electric Buildings Americas, I	New York	Consolidated Edison	Real Time Enrgy Management, Schneider Electri..	31,185
		Richmond	Consolidated Edison	Real Time Enrgy Management, Schneider-390 M..	46,465
	SecondMuse LLC	New York	Consolidated Edison	M-Corps, Technology to Market	2,000,000
	Sheepshead Bay Nursing Ho..	Kings	Consolidated Edison	Flexible Tech Assistance, FlexTech Program	7,518
	Solar Liberty Energy Systems,...	Queens	Long Island Power Au..	<200KW PV, NY Sun	15,377
	St. John's University	Queens	Consolidated Edison	EXISTING FACILITIES, EFP2116-St Johns Univ..	270
	Steven Winter Associates, Inc.	Kings	Consolidated Edison	Real Time Enrgy Management, SWA - Multisite - ..	42,569
				Workforce Industry Partnership, PON 3715 Workf..	77,585
		New York	Consolidated Edison	Real Time Enrgy Management, Steven Winter-15..	115,124
				Real Time Enrgy Management, SWA-351 East 8..	155,000
	SunPower Capital, LLC	Bronx	Consolidated Edison	<200KW PV, NY Sun	23,013
		Kings	Consolidated Edison	<200KW PV, NY Sun	6,368
		Queens	Consolidated Edison	<200KW PV, NY Sun	5,328
		Richmond	Consolidated Edison	<200KW PV, NY Sun	26,491
	SunRun, Inc	Queens	Consolidated Edison	<200KW PV, NY Sun	5,330
		Richmond	Consolidated Edison	<200KW PV, NY Sun	5,825
	SUNY Cobleskill	New York	Consolidated Edison	Technical Services, OsEM4-C SUNY Cobleskill	214,000
	Syska Hennessy Group	New York	Consolidated Edison	Commercial Real Estate Ten, Syska Hennessy-5..	17,000
	Tecogen	Kings	Consolidated Edison	Combined Heat and Power, CHPA - Brooklyn Uni..	624,989
				Combined Heat and Power, CHPA - Neptune	1,458,000
				Combined Heat and Power, CHPA - Riverview T..	162,000
				Combined Heat and Power, CHPA - Transcontin..	366,563
		New York	Consolidated Edison	Combined Heat and Power, CHPA - 200 East 57t..	221,203
	The Levy Partnership, Inc.	New York	Consolidated Edison	Retrofit NY, Multifamily	75,000
	The Point Community Develo..	Bronx	Consolidated Edison	NY-SUN, Hunts Point Comm Solar Project	188,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Top Green LLC	Queens	Consolidated Edison	FUEL NY, PGI00010 - Top Green LLC	68,047
	Trane	Bronx	Consolidated Edison	Real Time Enrgy Management, Trane-550 Food ..	30,547
		Kings	Consolidated Edison	Real Time Enrgy Management, St Ann'sWarehou..	11,237
		New York	Consolidated Edison	Real Time Enrgy Management, Trane-180 Amste..	65,325
	Transit Wireless	New York	Consolidated Edison	Industrial Process Effic, Industrial Process Effic..	27,500
	TRC Energy Services	Kings	Consolidated Edison	Industrial Process Effic, Technical Review and Pr..	2,817
		New York	Consolidated Edison	>200KW PV, Staff Augmentation Services	138,548
	Trinity Heating & Air, Inc.	Bronx	Consolidated Edison	NY Sun	31,506
		Kings	Consolidated Edison	NY Sun	20,700
	TTcogen, LLC	New York	Consolidated Edison	Combined Heat and Power, CHPA - Savoy Park I..	42,000
				Combined Heat and Power, CHPA- LeFrak - We..	42,000
		Queens	Consolidated Edison	Combined Heat and Power, CHPA - LeFrak - Le..	42,000
				Combined Heat and Power, CHPA - LeFrak - Lon..	42,000
	U.S. Green Building Council, ..	New York	Consolidated Edison	Workforce Industry Partnership, PON 3715 Workf..	286,657
	USTA National Tennis Center,..	Queens	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP14059 ..	141,381
	Utilities Program & Metering, I..	New York	Consolidated Edison	Real Time Enrgy Management, Utilivisor-1000 10..	66,298
	Vandale Motors Inc.	Bronx	Consolidated Edison	FUEL NY, PGI00003 - Vandale Motors Inc.	61,071
	Vanderbilt Assoc. I LLC	New York	Consolidated Edison	Flexible Tech Assistance, FT11662 - Vanderbilt ..	8,638
	Venture Home Solar LLC	Richmond	Consolidated Edison	<200KW PV, NY Sun	7,920
	Verizon NY Inc.	New York	Consolidated Edison	Industrial Process Effic, Industrial Process Effic..	283,529
		Richmond	Consolidated Edison	Industrial Process Effic, Industrial Process Effic..	86,396
	Voltaic Solaire LLC	Queens	Consolidated Edison	NY Sun	28,224
	Vornado Office Management ..	New York	Consolidated Edison	EXISTING FACILITIES, DMP Bonus - Vornado	83,831
	Vornado RTR Inc.	New York	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP12030 ..	527,962
	W & E Phillips Locksmith, Inc	New York	Consolidated Edison	Card Reader/Security System	6,859
	Whole Foods Market Group, I..	Kings	Consolidated Edison	Commercial New Construc, NCP16016 - Whole ..	65,290
	Willdan Energy Solutions	Kings	Consolidated Edison	Commercial Real Estate Ten, Willdan-Citi Bank ..	10,661
				Commercial Real Estate Ten, Willdan-Citi Bank ..	3,424
				Flexible Tech Assistance, FlexTech Consultant S..	89,560
				Industrial Process Effic, Technical Review and Pr..	40,630
				INDUSTRIAL PROCESS EFFICIENCY, Technic..	32,200
		Queens	Consolidated Edison	Commercial Real Estate Ten, Willdan-Citi Bank ..	2,023
	Yeshiva University	New York	Consolidated Edison	REV Campus Challenge, RM19 - Yeshiva Univer..	154,000
	ZBF Geothermal LLC	Bronx	Consolidated Edison	Geothermal Incentive Program, Large-Scale GS..	239,172
	Total				27,795,964
North Country	Adam C. Boese	Clinton	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	5,000
				Technical Services, FlexTech Consultant Selecti..	5,045
		Essex	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,175
		Franklin	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
		Hamilton	National Grid	Technical Services, FlexTech Consultant Selecti..	2,500
		Jefferson	Municipal Utilities	Technical Services, FlexTech Consultant Selecti..	2,500
		St. Lawrence	National Grid	Technical Services, FlexTech Consultant Selecti..	2,500
	Adirondack North Country Association	Franklin	National Grid	CLEANER GREENER COMMUNITIES, CGC540..	750,000
				Community Energy Engagement, CEEP North C..	265,551
				OTHER PROGRAM AREA, CEEP North Country..	114,331
	Adirondack Solar, LLC	Clinton	NYS Electric and Gas	>200KW PV, NY-SUN C&I	322,261
	ADK Solar	Franklin	National Grid	<200KW PV, NY-Sun	5,236
	American Solar Partners, LLC	Jefferson	National Grid	<200KW PV, NY-Sun	5,012
	Apex Solar Power LLC	Essex	NYS Electric and Gas	<200KW PV, NY-Sun	5,430
		Hamilton	National Grid	<200KW PV, NY Sun	5,177
	Arcadis of New York, Inc.	St. Lawrence	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
North Country	Banks II Quan Associates, Inc.	Essex	National Grid	Industrial Process Effic, Technical Review and Pr..	1,994
	CHA Consulting Inc.	St. Lawrence	National Grid	Industrial Process Effic, Technical Review and Pr..	50,900
	Cold Black River L.P.	Jefferson	National Grid	Multifam Performance Pgm, Multifamily	66,125
	Cornerstone Energy Services	St. Lawrence	National Grid	Renewable Heat NY, Cornerstone/Lennox	49,900
	Crest Solar LLC	Essex	NYS Electric and Gas	<200KW PV, NY Sun	17,724
	Dunn Paper	St. Lawrence	National Grid	Industrial Process Effic, Industrial Process Efficie..	471,561
	Erdman Anthony & Associates..	Franklin	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
	Fourth Coast, Inc.	Jefferson	National Grid	<200KW PV, NY Sun	5,005
		Lewis	National Grid	<200KW PV, NY Sun	48,800
		St. Lawrence	National Grid	<200KW PV, NY Sun	105
	Frontier Energy, Inc.	Lewis	National Grid	Industrial Process Effic, Technical Review_Prgm ..	19,920
	GRE Fund III Holdco LLC	Lewis	National Grid	>200KW PV, NY Sun C/I	372,671
	L&S Energy Services, Inc.	Essex	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
			NYS Electric and Gas	Industrial Process Effic, Technical Review and Pr..	13,650
		Franklin	National Grid	Technical Services, FlexTech Consultant Selecti..	2,500
			NYS Electric and Gas	Renewable Heat NY, Technical Review and Prog..	2,604
		Jefferson	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
		St. Lawrence	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	5,000
				Technical Services, FlexTech Consultant Selecti..	2,500
	Lewis County	Lewis	National Grid	Clean Energy Communities, CEC701052 - Lewis ..	100,000
	Max Solar Inc	Jefferson	National Grid	<200KW PV, NY-Sun	6,858
		St. Lawrence	National Grid	<200KW PV, NY Sun	8,750
	NY Mooers II, LLC	Clinton	NYS Electric and Gas	>200KW PV, NY-Sun C/I	1,163,901
	NY Mooers III, LLC	Clinton	NYS Electric and Gas	>200KW PV, NY-Sun C/I	1,163,901
	NY RNM Project1, LLC	Jefferson	National Grid	>200KW PV, NY-Sun C&I (Assignment)	990,966
	PlugPV, LLC	Essex	National Grid	<200KW PV, NY Sun	5,623
	Potters Industries	St. Lawrence	National Grid	Industrial Process Effic, Industrial Process Efficie..	74,921
	Powerhouse Dynamics, Inc	Jefferson	National Grid	Real Time Enrgy Management, Powerhouse-Five..	1,984
	RHM Inc.	St. Lawrence	National Grid	Renewable Heat NY, Aeon - Murray	18,250
	Scott Shipley	St. Lawrence	National Grid	<200KW PV, NY Sun	10,530
				<200KW PV, NY-Sun	6,230
	SmallGrid LLC	Franklin	National Grid	<200KW PV, NY Sun	5,236
	SUNY - ESF	Essex	NYS Electric and Gas	Environmental Research, ALTM SUNY ESF	612,109
	Taitem Engineering, P.C.	Lewis	National Grid	Flexible Tech Assistance, FlexTech Consultant S..	13,453
	Town of Franklin	Franklin	National Grid	Clean Energy Communities, Town of Franklin	200,000
	Town of Plattsburgh	Clinton	NYS Electric and Gas	Clean Energy Communities, Town of Plattsburgh	100,000
	Vermont Energy Investment C..	Clinton	NYS Electric and Gas	Industrial Process Effic, Technical Review and Pr..	929
	Total				7,122,319
Southern Tier	602 Partners LLC	Broome	NYS Electric and Gas	Multifam Performance Pgm, Multifamily	25,200
	Adam C. Boese	Broome	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	5,455
				Technical Services, FlexTech Consultant Selecti..	5,035
		Chemung	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
				Technical Services, FlexTech Consultant Selecti..	2,500
		Chenango	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	5,000
				Technical Services, FlexTech Consultant Selecti..	2,500
		Delaware	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
		Steuben	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
				Technical Services, FlexTech Consultant Selecti..	7,500
		Tompkins	NYS Electric and Gas	Technical Services, FlexTech Consultant Selecti..	2,500
	Antares Group, Inc.	Tompkins	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant S..	26,545
	Arcadis of New York, Inc.	Tioga	NYS Electric and Gas	Technical Services, FlexTech Consultant Selecti..	2,500
	Arcadis U.S., Inc.	Delaware	NYS Electric and Gas	Industrial Process Effic, Tech Review & Program ..	4,882

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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 Prog..	1,900
	Binghamton Regional	Broome	NYS Electric and Gas	Community RH&C, PON3723 RH&C Campaigns	160,000
	Black Cherry Services Group, ..	Delaware	NYS Electric and Gas	<200KW PV, NY Sun	1,056
	Branscomb Solar, LLC	Tioga	NYS Electric and Gas	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	19,164,000
	Buselli Plumbing & Heating	Delaware	NYS Electric and Gas	<200KW PV, NY Sun	5,670
	C.J. Brown Energy, P.C.	Steuben	NYS Electric and Gas	Technical Services, FlexTech Consultant Selecti..	2,500
	C&S Engineers, Inc.	Tompkins	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant S..	13,281
	CHA Consulting Inc.	Steuben	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant S..	7,577
				Industrial Process Effic, Technical Review and Pr..	61,000
	Citizens Chenango Solar LLC	Broome	NYS Electric and Gas	>200KW PV, NY Sun	1,550,400
	City of Binghamton	Broome	NYS Electric and Gas	Clean Energy Communities, City of Binghamton	250,000
	Corning Inc.	Chemung	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	848,844
		Steuben	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	972,147
	DRYDEN-TOMPKINS SOLAR..	Tompkins	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,255,061
	Energy & Resource Solutions,..	Delaware	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
	Erdman Anthony & Associates..	Broome	NYS Electric and Gas	Technical Services, FlexTech Consultant Selecti..	2,500
	Extraterrestrial Materials Inc.	Broome	NYS Electric and Gas	<200KW PV, NY Sun	15,159
		Chenango	Municipal Utilities	<200KW PV, NY Sun	7,280
		Tioga	NYS Electric and Gas	<200KW PV, NY Sun	10,784
	G.W. Ehrhart, Inc.	Tompkins	NYS Electric and Gas	Renewable Heat NY, G.W. Ehrhart - Roberson	21,000
	George E Denmark II	Chemung	NYS Electric and Gas	<200KW PV, NY Sun	6,615
	Green Eagle Solar II, LLC	Tompkins	NYS Electric and Gas	>200KW PV, NY-Sun C/I	2,430,652
				>200KW PV, NY-Sun C&I	1,218,254
	Huron Real Estate Associates..	Broome	NYS Electric and Gas	On-Site Energy Manager, OsEM5-I Huron Camp..	149,002
	Ithaca College	Tompkins	NYS Electric and Gas	REV Campus Challenge, RM12 - Ithaca College	50,273
	L&S Energy Services, Inc.	Chenango	NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
		Tompkins	NYS Electric and Gas	Technical Services, FlexTech Consultant Selecti..	2,500
	Lono LLC	Tompkins	NYS Electric and Gas	Geothermal Incentive Program, Large-Scale GS..	18,000
	M/E Engineering, P.C.	Tompkins	NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant S..	211,415
	Mecklenburg Solar LLC	Tompkins	NYS Electric and Gas	>200KW PV, NY-Sun C/I	505,086
	NORWICH - CHENANGO SO..	Chenango	NYS Electric and Gas	>200KW PV, NY-Sun C&I	845,159
	Powerhouse Dynamics, Inc	Broome	NYS Electric and Gas	Real Time Enrgy Management, Powerhouse-Five..	3,967
		Tompkins	NYS Electric and Gas	Real Time Enrgy Management, Powerhouse-Five..	3,967
	Providence Housing Develop..	Tompkins	NYS Electric and Gas	Low Rise New Construction, New Construction	63,200
	Puckett Solar, LLC	Chenango	Municipal Utilities	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	21,160,250
	Regan Solar, LLC	Chenango	NYS Electric and Gas	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	21,755,070
	Renovus Energy, Inc.	Broome	NYS Electric and Gas	<200KW PV, NY Sun	5,072
		Chemung	NYS Electric and Gas	<200KW PV, NY Sun	6,279
		Schuyler	NYS Electric and Gas	<200KW PV, NY Sun	7,560
		Steuben	NYS Electric and Gas	<200KW PV, NY Sun	5,313
		Tioga	NYS Electric and Gas	<200KW PV, NY Sun	144,912
		Tompkins	NYS Electric and Gas	<200KW PV, NY Sun	31,805
	Solar Liberty Energy Systems,..	Broome	NYS Electric and Gas	<200KW PV, NY Sun	27,621
	Solar Tompkins Inc.	Tompkins	NYS Electric and Gas	Community RH&C, PON3723 RH&C Campaigns	150,000
	SUNY Broome Community Co..	Broome	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP12647 ..	69,919
	SUNY Delhi	Delaware	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	5,931
	Sustainable Energy Developm..	Tompkins	NYS Electric and Gas	<200KW PV, NY Sun	18,492
	Taitem Engineering, P.C.	Chenango	NYS Electric and Gas	Technical Services, FlexTech Consultant Selecti..	2,500
		Delaware	NYS Electric and Gas	<200KW PV, NY Sun	6,409
	Tompkins County	Tompkins	NYS Electric and Gas	Clean Energy Communities, CEC011216 - Tomp..	250,000
	Town of Caroline	Tompkins	NYS Electric and Gas	Clean Energy Communities, Town of Caroline	100,000
	Town of Ulysses	Tompkins	NYS Electric and Gas	Clean Energy Communities, PON 3298 CEC	100,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Southern Tier	Trireme Energy Development ..	Steuben	NYS Electric and Gas	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	408,502,640
	Vanguard Graphics, LLC	Tompkins	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	24,313
	Total				482,334,452
Statewide	7group, LLC	STATEWIDE	Statewide	Retrofit NY, Multifamily	50,000
	Abt Associates Inc.	STATEWIDE	Statewide	Environmental Research, Community Flood Risk	11,496
				ENVIRONMENTAL RESEARCH, Flex Energy Te..	200,000
	AcelereX, Inc.	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Energy Storage St..	7,000
	Action Research Inc.	STATEWIDE	Statewide	Behavior Support for Pilots, Market Insights	50,000
	Adam Hinge	STATEWIDE	Statewide	Real Time Enrgy Management, New Efficiency N..	50,000
	Adirondack Lakes Survey Cor..	STATEWIDE	Statewide	Environmental Research, RFP 3702 Stream Sam..	492,581
	Albright Solutions LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, 3rd Party Capital Su..	25,000
	Alliance for Green Heat	STATEWIDE	Statewide	Renewable Heat NY, Energy and Environmental ..	33,750
	American Council for an Ener..	STATEWIDE	Statewide	Intervention Effectiv Training, 2018 ACEEE Finan..	50,000
	Amphora Consulting	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Strategic Progra..	33,400
	Andrew Kessler	STATEWIDE	Statewide	NEW YORK GREEN BANK, Transaction Support	10,000
	Antares Group, Inc.	STATEWIDE	Statewide	CI Engy Siting & Soft Cost Red, Technical Revie..	75,000
	Apprise, Incorporated	STATEWIDE	Statewide	Housing Analysis/Segmentation, Local coordinati..	50,000
	Arcadis of New York, Inc.	STATEWIDE	Statewide	CI Engy Siting & Soft Cost Red, Large Scales Re..	402,700
				Industrial Process Effic, FlexTech Consultant Sel..	248,500
				Large Scale Renewables, Large Scales Renewa..	75,000
	Arcadis U.S., Inc.	STATEWIDE	Statewide	Commercial New Construc, Tech Review & Progr..	7,500
				NEW CONSTRUCTION PROGRAM, Tech Revie..	42,500
	Atelier Ten	STATEWIDE	Statewide	Commercial New Construc, ATEN - EMP	49,913
	Autronic Plastics, Inc.	STATEWIDE	Statewide	Pub Transit & Elect Rail, Wireless Transit Lighting	264,000
	Avangrid Inc.	STATEWIDE	Statewide	Electric Vehicles - Innovation, Smart Home EV c..	50,000
	AWS Truepower	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, RFP 3462	14,950
	Battelle Memorial Institute	STATEWIDE	Statewide	Code to Zero, NYStretch Code (2018) support	59,525
	BHCC II LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, 2018 76West Finals ..	6,000
	BioDiversity Research Institute	STATEWIDE	Statewide	Environmental Research, Hg Monitoring Synthesi..	250,000
				Off-Shore Wind Pre-Dev Act, BRI: TWO umbrella..	74,355
	BPCA NYS Inc.	STATEWIDE	Statewide	Home Perf w Energy Star, Tech Consulting for R..	35,075
	Brattle Group Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, Large Scales..	45,500
	Bright Power, Inc.	STATEWIDE	Statewide	Real Time Enrgy Management, Selfhelp Comm-..	571
	Brookhaven National Lab	STATEWIDE	Statewide	OTHER PROGRAM AREA, HEX Beam Line	15,000,000
	Bruce Harley Energy Consulti..	STATEWIDE	Statewide	Air Source Heat Pumps, ASHP Consultant	22,500
	BTMI Engineering, PC	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, RFP 3462	650,900
	BuildingGreen, Inc.	STATEWIDE	Statewide	Environmental Research, Malin: meeting facilitator	8,000
	Bynder LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, WebDAM Photo ..	8,975
	Cadenza Innovation, Inc.	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, PON3249 ACE	1,000,000
	Callanan Industries	STATEWIDE	Statewide	Industrial Process Effic, Industrial Process Efficie..	88,488
	CHA Consulting Inc.	STATEWIDE	Statewide	Industrial Process Effic, Industrial & Agriculture	983,750
				On-Site Energy Manager, Industrial & Agriculture	110,000
				Strategic Energy Manager, Industrial & Agriculture	98,750
	Clean Energy States Alliance	STATEWIDE	Statewide	Prof & Expert Engagement, 2018 CESA Member..	68,500
	CLEAResult Consulting, Inc.	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	2,500
				Centralized Services & Support	400,000
				EMPOWER NY, Centralized Services & Support	97,500
				Home Perf w Energy Star, Centralized Services ..	923,309
				HOME PERFORMANCE WITH ENERGY STAR, ..	2,500
				LMI Community Solar, Centralized Services & Su..	219,624
				Technical Support SFR	305,525
	Climate Action Associates LLC	STATEWIDE	Statewide	Clean Energy Communities, Utility Energy Regist..	219,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Climate Action Associates LLC	STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, Utility En..	125,000
				OTHER PROGRAM AREA, DOE grant - UER - C..	270,000
	Color Methods	STATEWIDE	Statewide	Low-Income Forum on Energy, LIFE 2018 Confer..	1,080
	Compressed Air Challenge, In..	STATEWIDE	Statewide	Prof & Expert Engagement, Industrial Process Eff..	7,500
	Consensus Building Institute, I..	STATEWIDE	Statewide	Environmental Research, CBI: LS solar vol guide..	49,941
	Continental Automated Buildin..	STATEWIDE	Statewide	Subscription/Data Access, Market Insights	10,000
	Cornell University	STATEWIDE	Statewide	OTHER PROGRAM AREA, 76West Building a Cl..	1,336,626
	Couch White, LLP	STATEWIDE	Statewide	>200KW PV, RFP 3300 Outside Counsel Servi	100,000
	Culver Company, LLC	STATEWIDE	Statewide	POLICY DEVELOPMENT, DPS 2018 NYS Fair g..	18,113
	Dandelion Energy Inc	STATEWIDE	Statewide	NextGen HVAC, PON3519 Round 1	750,000
	Darling Advertising Agency Inc.	STATEWIDE	Statewide	New Construction- Housing, Marketing Support f..	50,000
				NYSERDA ADMINISTRATION, Marketing Suppo..	113,100
	Eastern Research Group, Inc.	STATEWIDE	Statewide	Environmental Research, RFP3622 Env Res & ..	199,967
	ECG Consulting Group Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, Due Dilligence Proce..	25,000
	Ecology and Environment Eng..	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, Offshore Wind Ener..	657,192
	ECOSAVE SERVICES, LLC	STATEWIDE	Statewide	NY Green Bank, NYC Energy Efficiency Corporat..	2,000,000
	Electric Power Research Instit..	STATEWIDE	Statewide	High Performing Grid, PON 3397 CAT D	1,102,100
	eluminocity US, Inc.	STATEWIDE	Statewide	CLEAN TRANSPORTATION, IoT for street lighti..	499,980
	Empower Equity Inc	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	100,000
	Eneractive Solutions	STATEWIDE	Statewide	K-12 SCHOOLS, FlexTech Consultant Selection	600,000
	Energetics, Incorporated	STATEWIDE	Statewide	EVALUATION, RFQL3685 Round 1	57,676
	Energy & Resource Solutions, Inc.	STATEWIDE	Statewide	Combined Heat and Power, RFP 3643 Tech To ..	2,000,000
				Commercial Real Estate Ten, Commercial	219,024
				EXISTING FACILITIES, Technical Review and Pr..	10,137
				Flexible Tech Assistance, Commercial	60,840
				Industrial Process Effic, Industrial & Agriculture	280,780
				Industrial Process Effic, Technical Review and Pr..	46,974
				INDUSTRIAL PROCESS EFFICIENCY, Technic..	109,606
				K-12 SCHOOLS, Commercial	70,715
				NEW CONSTRUCTION PROGRAM, Technical ..	2,190
				On-Site Energy Manager, Industrial & Agriculture	40,000
				Real Time Enrgy Management, Commercial	170,352
				REV Campus Challenge, Commercial	360,570
				Rmve Barriers Dist Enrgy Storg, RFP 3407 Cate..	2,582,905
				Strategic Energy Manager, Industrial & Agriculture	36,250
				Technical Services, Commercial	70,715
	Energy and Environmental Economics Inc.	STATEWIDE	Statewide	Electric Vehicles - Innovation, BCA of EV grid im..	30,000
				ENERGY ANALYSIS, Tech Assist, REV Pool.	97,637
				Mkt Char: Tech Assist, Tech Assist, REV Pool.	380,124
	EnergySavvy Inc	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	7,180
				EMPOWER NY, Residential Program MgtRFP35..	7,180
				Home Perf w Energy Star, Residential Program ..	1,055,892
				HOME PERFORMANCE WITH ENERGY STAR, ..	7,180
	Environment & Energy Publis..	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Annual subscripti..	12,330
	Erdman Anthony & Associates..	STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, FlexTec..	56,408
	Essense Partners Inc.	STATEWIDE	Statewide	Cleantech ICC Engage, Marketing Support for N..	487,000
				Rmve Barriers Dist Enrgy Storg, Marketing Supp..	99,000
	EthosGen, LLC	STATEWIDE	Statewide	NextGen HVAC, PON3519 Round 1	825,000
	Evoworld	STATEWIDE	Statewide	Environmental Research, KEBA Analysis; TRNS..	24,500
	Faraday, Inc.	STATEWIDE	Statewide	Air Source Heat Pumps, RFP3761 Customer Tar..	100,000
				Community RH&C, RFP3761 Customer Targetin..	200,000
	First Colonie Company	STATEWIDE	Statewide	Clean Energy Communities, 2018 CEEP Training	7,156

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	First Colonie Company	STATEWIDE	Statewide	Environmental Research, 2018 Adapting Building..	14,000
	Freeman Decorating Co	STATEWIDE	Statewide	OTHER PROGRAM AREA, 2018 NY Auto Show ..	5,244
	Frontier Energy, Inc.	STATEWIDE	Statewide	ANAEROBIC DIGESTER, RPS CST QA/QC Sup..	154,787
				COMBINED HEAT AND POWER, CHP System I..	3,165,108
				Combined Heat and Power, DG Integrated Data ..	2,400,000
				COMBINED HEAT AND POWER, Technical Advi..	225,844
				COMBINED HEAT AND POWER, Technical Revi..	351,053
				Community RH&C, Technical Review_Prgm Sup..	44,390
				EMERGING TECHNOLOGY / ACCELERATED ..	281,554
				EVALUATION, Technical Review_Prgm Support	258,943
				EXISTING FACILITIES, EFP Task Work Order	170,637
				EXISTING FACILITIES, Technical Review_Prgm ..	4,995
				Geothermal Incentive Program, Technical Revie..	96,526
				Industrial Process Effic, Technical Review_Prgm ..	34,634
				INDUSTRIAL PROCESS EFFICIENCY, Technic..	32,528
	General Electric International, ..	STATEWIDE	Statewide	ENERGY ANALYSIS, RFQL3685 Round 1	175,000
	Goldman Copeland Associate..	STATEWIDE	Statewide	Technical Services, FlexTech Consultant Selecti..	50,000
	Gotham 360 LLC	STATEWIDE	Statewide	Remote Energy Management, RFP 3683 REM Pr..	750,000
	GreenBiz Group, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, 2018 Verge Sponsor..	7,500
	Greentech Media Inc.	STATEWIDE	Statewide	Subscription/Data Access, GTM Wind Service Su..	25,000
	GridPoint, Inc	STATEWIDE	Statewide	Real Time Enrgy Management, Chipotle - Multi S..	130,599
				Real Time Enrgy Management, City of Albany-M..	18,902
	Harris Wiltshire & Grannis LLP	STATEWIDE	Statewide	ENERGY ANALYSIS, RFP3776 Outside Counsel..	10,000
				OREC: Technical Support, RFP3776 Outside Co..	250,000
	Health Research, Inc.	STATEWIDE	Statewide	Environmental Research, Ultrafine Particle Emiss..	47,295
	Hodgson Russ LLP	STATEWIDE	Statewide	>200KW PV, RFP 3300 & RFP 3776 Outside Co	200,000
				CI Engy Siting & Soft Cost Red, RFP 3300 & RF..	20,000
	Holland & Knight LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank Outside..	309,500
				SMART GRID SYSTEMS, RFP 3300 & RFP 377..	4,253
	Homeridae LLC	STATEWIDE	Statewide	NY Green Bank, BQ Energy - Homeridae LLC	4,850,000
	Honeywell International Inc.	STATEWIDE	Statewide	Air Source Heat Pumps, 3695 TWO Umbrella Ag..	25,000
	IHS Global Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, IHS Forecasting Service	31,060
				FUEL NY, OPIS Rack Price Subscription	8,232
	Industrial Economics, Incorporated	STATEWIDE	Statewide	Large Scale Renewables, Industrial Economics T..	179,750
				Mkt Char: Tech Assist, Tech Assist, REV Pool	192,691
	Institute for Building Technology and Sa	STATEWIDE	Statewide	<200KW PV, RFQL 3434 IBTS Standards & QA	89,961
				Air Source Heat Pumps, RFQL 3434 IBTS Stand..	15,000
				ASSISTED HOME PERFORMANCE WITH ENE..	7,665
				COMMUNITY SOLAR, RFQL 3434 IBTS Standar..	22,534
				EMPOWER NY, 3695 TWO Umbrella Agreement	2,905
				Home Perf w Energy Star, 3695 TWO Umbrella ..	360,580
				Home Perf w Energy Star, RFQL 3434 IBTS Stan..	120,000
				HOME PERFORMANCE WITH ENERGY STAR, ..	3,850
				NY-SUN, RFQL 3434 IBTS Standards & QA	687,506
	Integrative Design Collaborati..	STATEWIDE	Statewide	Retrofit NY, Multifamily	50,000
	JCB Specialties, Inc.	STATEWIDE	Statewide	POLICY DEVELOPMENT, DPS NYS Fair giveaw..	34,138
	JCRA Financial LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, JRCA Hedging Strat..	25,000
	JEM ENGINEERING SERVIC..	STATEWIDE	Statewide	High Performing Grid, PON 3397 Round 2 - Cate..	216,195
	Jones Lang LaSalle Americas,..	STATEWIDE	Statewide	Commercial Real Estate Ten, JLL - Multisite 48 si..	240,000
	JP Morgan Chase	STATEWIDE	Statewide	EXISTING FACILITIES, DMP Bonus - JP Morgan..	318,236
	Kaleida Health	STATEWIDE	Statewide	EXISTING FACILITIES, EFP2540 - Kaleida Health	8,820
	Karpman Consulting, LLC	STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, CEC EC..	98,714

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Karpman Consulting, LLC	STATEWIDE	Statewide	Code to Zero, Karpman Csltg RFP3036 Services	9,000
	Kathy Lambert	STATEWIDE	Statewide	Environmental Research, Env Research Plan: Ec..	32,000
	Kelleher Samets Volk	STATEWIDE	Statewide	Commercial Real Estate Ten, Marketing Support ..	1,980
				Community RH&C, Marketing Support for NYSE..	164,000
				Geothermal Incentive Program, Marketing Suppo..	80,000
				Industrial Process Effic, Marketing Support for N..	9,900
				LMI Community Solar, Marketing Support for NY..	250,000
				New Construction- Commercial, Marketing Supp..	7,500
				New Construction- Housing, Marketing Support f..	65,000
				NYSERDA ADMINISTRATION, Marketing Suppo..	50,000
				Real Time Enrgy Management, Marketing Suppo..	3,960
				Renewable Heat NY, Marketing Support for NYS..	60,000
				Residential-Engaging New Mkts, Marketing Supp..	2,850,000
				REV Campus Challenge, Marketing Support for ..	1,980
				Strategic Energy Manager, Marketing Support for..	49,270
				Talent Pipeline:CE and OJT, TWO 21 WFD Tale..	500,000
				Talent Pipeline:Internship Pgm, TWO 21 WFD Ta..	100,000
				Technical Services, Marketing Support for NYSE..	1,980
				Workforce Industry Partnership, Marketing Suppo..	400,000
	KEMA Incorporated	STATEWIDE	Statewide	Campus/Technical Assistance, RFQ 3183 KEMA..	52,425
				Community RH&C, RFQ 3183 KEMA, Inc	40,047
				EVALUATION, RFQ 3183 KEMA, Inc	848,325
				Flexible Tech Assistance, RFQ 3183 KEMA, Inc	44,466
				Geothermal Incentive Program, RFQ 3183 KEMA..	295,577
				NEW YORK GREEN BANK, RFQ 3183 KEMA, Inc	767,131
				Renewable Heat NY, RFQ 3183 KEMA, Inc	334,090
	Kilfrost, Inc.	STATEWIDE	Statewide	NextGen HVAC, PON3519 Round 1	81,375
	Kilowatt Engineering, Inc.	STATEWIDE	Statewide	Remote Energy Management, RFP 3683 REM Pr..	459,614
	L&S Energy Services, Inc.	STATEWIDE	Statewide	Campus/Technical Assistance, Technical Review..	6,000
				CLEANER GREENER COMMUNITIES, FlexTec..	28,204
				Combined Heat and Power, Technical Review an..	32,000
				Flexible Tech Assistance, Technical Review and ..	77,000
				FLEXIBLE TECHNICAL ASSISTANCE, Technica..	180,000
				GREENING THE BRONX, Greening the Bronx	99,934
				On-Site Energy Manager, Technical Review and ..	137,754
	LaBella Associates, P.C.	STATEWIDE	Statewide	GJGNY REVOLVING LOAN FUND, Technical R..	25,000
	Launch New York, Inc.	STATEWIDE	Statewide	Cleantech ICC Engage, Launch NY ECO Incubat..	1,500,000
	Lawrence Berkeley National L..	STATEWIDE	Statewide	Industrial Process Effic, Industrial Process Effic..	30,000
	Leidos Engineering of New Yo..	STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, FlexTec..	42,306
	Levitan & Associates, Inc.	STATEWIDE	Statewide	OREC: Technical Support, Offshore Wind Energy..	1,445,000
	Loeb & Loeb LLP	STATEWIDE	Statewide	Green Bank Outside Legal Couns	4,779
				NEW YORK GREEN BANK, Green Bank Outside..	229,611
	Long Island Power Authority	STATEWIDE	Statewide	NY-SUN, LIPA MOU RGGI Compliance Progr	25,950,000
	Lumsden & McCormick, LLP	STATEWIDE	Statewide	OREC: Technical Support, Large-Scale Renewa..	7,000
	Luthin Associates, Inc.	STATEWIDE	Statewide	REV Campus Challenge, Commercial	96,000
	Margaret R Cayten	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank	50,000
	Max Wei	STATEWIDE	Statewide	ENERGY ANALYSIS, Technical Assistance for E..	10,000
	MCCCK Syracuse Hotel No 2 LP	STATEWIDE	Statewide	Home Perf w Energy Star, 2018 RES Training - ..	5,400
	Meister Consultants Group, Inc.	STATEWIDE	Statewide	Customer Decision Making, SHC Market Assess..	50,000
				ENERGY ANALYSIS, Renewable Heating Coolin..	50,000
				Real Time Enrgy Management, Commercial	200,000
				REV Campus Challenge, Commercial	350,000

Projects Selected for Funding by Region
Period 4/1/2018 through 9/30/2018

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Metropolitan Transportation A..	STATEWIDE	Statewide	High Performing Grid, PON 3397 CAT D	1,700,000
	Milliman, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Valuation GASB ..	5,666
	Moelis & Company Group LP	STATEWIDE	Statewide	NEW YORK GREEN BANK, 3PC raise advisory ..	750,000
	NASEO	STATEWIDE	Statewide	ENERGY ANALYSIS, Solar Soft Cost Lit Review	80,000
	Natural History Museum of the..	STATEWIDE	Statewide	Environmental Research, Wild Ctr Clim Change ..	50,000
	Navigant Consulting Inc.	STATEWIDE	Statewide	Advancing Ag Enrgy Technologie, Navigant Cons..	302,001
				Energy Storage Tech/Prod Dev, Navigant Consul..	355,197
				Greenhouse Light & Systems Eng, Navigant Con..	302,000
				Rmve Barriers Dist Enrgy Storg, Navigant Consul..	342,362
				Technical Services, Navigant Consulting TWO	302,000
	NECEC Institute	STATEWIDE	Statewide	Cleantech ICC Engage, 2018 NECEC Sponsorsh..	150,000
	NESCAUM	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, RFQL3685 Ro..	450,000
				ENVIRONMENTAL RESEARCH, Tech Assist, R..	185,000
				OTHER PROGRAM AREA, 2018 ZEV MOU dues	50,000
				Renewable Heat NY, RFQL3685 Round 1	350,000
	NESEA	STATEWIDE	Statewide	Commercial Real Estate Ten, 2018 Building Ener..	4,000
				Multifam Performance Pgm, 2018 Building Energ..	4,000
				Real Time Enrgy Management, 2018 Building En..	4,000
				Retrofit NY, 2018 Building Energy Conf spon	4,000
	New Buildings Institute, Inc.	STATEWIDE	Statewide	Code to Zero, Codes Enable: NYStretch-Energy	30,000
	New York Battery and Energy ..	STATEWIDE	Statewide	Rmve Barriers Dist Enrgy Storg, RFP 3407 Cate..	498,002
	New York Convention Center ..	STATEWIDE	Statewide	OTHER PROGRAM AREA, Booth services of NY..	7,884
	New York Geothermal Energy..	STATEWIDE	Statewide	Geothermal Incentive Program, 2018 NY GEO	5,100
	New York Passive House Inc.	STATEWIDE	Statewide	Low Rise New Construction, 2018 NYPH Confer..	2,125
				Multifam New Construction, 2018 NYPH Confere..	2,125
				Multifam Performance Pgm, 2018 NYPH Confere..	2,125
				Retrofit NY, 2018 NYPH Conference & Expo	2,125
	New York Solar Energy Indust..	STATEWIDE	Statewide	NY-SUN, NYSEIA SUMMIT	10,000
	New York State Ag & Markets	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, 2018 NYS Fair E..	8,530
				POLICY DEVELOPMENT, 2018 DPS NYS Fair E..	11,365
	New York University Langone ..	STATEWIDE	Statewide	EXISTING FACILITIES, EFP2408 - New York Un..	12,601
	Newport Ventures, Inc.	STATEWIDE	Statewide	Code to Zero, Energy Code Training	268,058
				New Construction- Housing, New Construction	200,000
	NIC Holding Corp	STATEWIDE	Statewide	FUEL NY, NYS Strategic Gasoline Reserve	516,000
	Nixon Peabody LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank Outside..	183,284
	NMR Group, Inc.	STATEWIDE	Statewide	Standardized Approach to EEfic, RFQ 3183 NMR..	49,952
	Northeast Energy Efficiency P..	STATEWIDE	Statewide	EVALUATION, NEEP CT EMV Project	45,900
	NRG Chestnut NYGB LLC	STATEWIDE	Statewide	NY Green Bank, NRG - Venus CDG Portfolio	18,000,000
	NY DRS BL I, LLC	STATEWIDE	Statewide	NY Green Bank, Delaware River Solar #2	55,000,000
	NY DRS FINCO I, LLC	STATEWIDE	Statewide	NY Green Bank, Delaware River Solar #1	7,000,000
	NYC Department of Environm..	STATEWIDE	Statewide	Industrial Process Effic, Industrial Process Effic..	177,979
	NYCBS FINCO LLC	STATEWIDE	Statewide	NY Green Bank, Motivate - Citibike Upsize	6,000,000
	NYS Office of General Services	STATEWIDE	Statewide	POLICY DEVELOPMENT, 2018 NYS DPS Printi..	50,000
	O'Brien & Gere Engineers, Inc.	STATEWIDE	Statewide	Industrial Process Effic, FlexTech Consultant Sel..	150,000
	Proenergy Consulting LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, Consulting NY Prize..	130,000
	Pterra, LLC	STATEWIDE	Statewide	DER Integration(Intrcnct), PON 3404 DER Integ..	5,846
	Public Utility Law Project of N..	STATEWIDE	Statewide	SFY 18-19 PULP Appropriation	600,000
	Quanta Technology LLC	STATEWIDE	Statewide	High Performing Grid, PON 3397 Round 2 - Cate..	400,000
	RAC Holdings Corp.	STATEWIDE	Statewide	Low-Income Forum on Energy, Mazzone Hospita..	35,964
	RD & Associates Consulting L..	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFP3267 Innovation ..	65,000
	RENOVUS ROCK, LLC	STATEWIDE	Statewide	NY Green Bank, BlueRock Energy Solar	775,000
	Rensselaer Polytechnic Institu..	STATEWIDE	Statewide	Prof & Expert Engagement, Advanced Buildings	85,000

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Research Foundation of CUNY	STATEWIDE	Statewide	Rmve Barriers Dist Enrgy Storg, RFP 3407 Cate..	858,196
	Research Foundation of SUNY	STATEWIDE	Statewide	Environmental Research, LISTOS	46,048
				Environmental Research, Whiteface Mt Cloud Mo..	240,902
	Research Into Action, Inc.	STATEWIDE	Statewide	EVALUATION, Research Into Action TWO	19,710
				Workforce Industry Partnership, Research Into A..	8,400
	Rochester Institute of Technol..	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Health Care Fleet ..	70,990
	Rocky Mountain Institute	STATEWIDE	Statewide	Air Source Heat Pumps, ELab Session	10,000
	Ruskin Moscou Faltischek, P...	STATEWIDE	Statewide	OTHER PROGRAM AREA, OSW legal incorpora..	6,679
	Scotto Brothers Woodbury Re..	STATEWIDE	Statewide	Environmental Research, 2018 State of the Scien..	18,000
	Seek More LLC	STATEWIDE	Statewide	Residential-Engaging New Mkts, Consultant for S..	44,620
	Sive Paget & Riesel PC	STATEWIDE	Statewide	>200KW PV, RFP 3300 & RFP 3776 Outside Co	100,000
				Off-Shore Wind Master Plan, RFP 3300 & RFP 3..	100,000
				WEST VALLEY DEVELOPMENT PROGRAM, R..	50,000
	Social Finance Inc.	STATEWIDE	Statewide	Philanth Finance PayForSuccess, Pay for Succe..	50,000
	Sperry Energy	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFP3267 Innovation ..	175,000
	SRI International	STATEWIDE	Statewide	OTHER PROGRAM AREA, NYS Clean Technolo..	40,000
				Subscription/Data Access, NYS Clean Technolog..	40,000
	STARK Technologies Group, I..	STATEWIDE	Statewide	Remote Energy Management, RFP3683 REM Pr..	583,000
	Stem Inc	STATEWIDE	Statewide	CLEAN TRANSPORTATION, ETAC-CI Focused ..	30,000
	Steven Winter Associates, Inc.	STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, FlexTec..	169,224
	Stonework Capital LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFP3267 Innovation ..	175,000
	Stony Brook Foundation - Adv..	STATEWIDE	Statewide	INNOVATION CAPACITY & BUSINESS DEVEL..	18,000
	Sunrun Gaia Portfolio 2016--A..	STATEWIDE	Statewide	NY Green Bank, Sunrun - Hera Upsize #1	10,000,000
	SUNY - ESF	STATEWIDE	Statewide	Environmental Research, ALTM Streams 2018-2..	84,043
	SUNY Buffalo	STATEWIDE	Statewide	Environmental Research, Climate Impacts on Bui..	74,900
	Sustainable CUNY CUNY/RF	STATEWIDE	Statewide	NY-SUN, 2018 Solar Storage Summit	10,000
	Sustainable Energy Advantage, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Large Scales Re..	83,000
				REC:CES REC System Dev Costs, Large Scales..	254,206
	Syracuse University	STATEWIDE	Statewide	NextGen HVAC, 2018 Intl Building Physics Con	25,000
				NextGen HVAC, Flame-Assisted Fuel Cell	50,000
				NextGen HVAC, sponsor 2017 symposium	10,000
	Taitem Engineering, P.C.	STATEWIDE	Statewide	Air Source Heat Pumps, 3695 TWO Umbrella Ag..	28,290
				GJGNY REVOLVING LOAN FUND, Technical R..	24,996
				Multifam Performance Pgm, RFQL3434 Cat1 Bio..	430,000
				NextGen HVAC, FlexTech Consultant Selection	50,000
	Taylor Group LTD	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Corporate Marke..	15,482
	The Board of Trustees	STATEWIDE	Statewide	Environmental Research, NADP Program Contract	5,584
	The Business Council of NYS,..	STATEWIDE	Statewide	Prof & Expert Engagement, Renewal of Members..	5,876
	The Cadmus Group, LLC	STATEWIDE	Statewide	>200KW PV, RFQL3434 Cat1 NYSUN C/I	100,000
				Community RH&C, RFP3751 Clean Heating & C..	500,000
				COMMUNITY SOLAR, RFP 3764Solarize TA Pro..	350,000
				Eval MCDC Cross Cutting, RFQ 3183 The Camd..	47,840
				EVALUATION, RFP3916 Res Bldg Stock Assess..	1,926,219
				Financing Solutions, Market Insights	50,000
				Off-Shore Wind Pre-Dev Act, Large-Scale Renew..	150,000
				Residential-Engaging New Mkts, RFQ 3183 The ..	40,909
				Rmve Barriers Dist Enrgy Storg, RFP 3407 Cate..	193,232
	The Renewables Consulting ..	STATEWIDE	Statewide	Off-Shore Wind Master Plan, RFP 3462	207,159
	The Research Foundation for the State	STATEWIDE	Statewide	Low Rise New Construction, 2018 NYS Green B..	2,625
				Multifam New Construction, 2018 NYS Green Bui..	2,625
	The Trustees of Columbia Uni..	STATEWIDE	Statewide	Upstate building footprints	47,487
	Time Warner Cable Enterprise..	STATEWIDE	Statewide	EXISTING FACILITIES, DMP Bonus - Time War..	122,311

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Town of East Hampton	STATEWIDE	Statewide	COMMUNITY SOLAR, Solarize 2018	5,000
	Town of Esopus	STATEWIDE	Statewide	COMMUNITY SOLAR, Solarize 2018	5,000
	Town of Queensbury	STATEWIDE	Statewide	COMMUNITY SOLAR, Solarize 2018	5,000
	Town of Southampton	STATEWIDE	Statewide	COMMUNITY SOLAR, Solarize 2018	5,000
	Trane	STATEWIDE	Statewide	Remote Energy Management, RFP 3683 REM Pr..	745,500
	TRC Energy Services	STATEWIDE	Statewide	Commercial New Construc, Technical Review an..	22,500
				K-12 SCHOOLS, FlexTech Consultant Selection	600,000
				Multifam Performance Pgm, Program Tool Servic..	50,000
				NEW CONSTRUCTION PROGRAM, Technical ..	127,500
	U.S. Geological Survey (Troy).	STATEWIDE	Statewide	Environmental Research, USGS ALTM: Streams ..	974,354
	University of Rochester	STATEWIDE	Statewide	Environmental Research, LT particle monitoring ..	250,000
				OTHER PROGRAM AREA, Annual Support for L..	825,000
	University of Wisconsin System	STATEWIDE	Statewide	Environmental Research, NADP LTM Ecosystem..	438,419
	Upstate Capital Association of New York	STATEWIDE	Statewide	OTHER PROGRAM AREA, 9th Annual NY Busin..	25,000
				Prof & Expert Engagement, UCANY 2018	40,000
	Verizon Communications Inc	STATEWIDE	Statewide	Industrial Process Effic, Industrial Process Efficie..	41,913
	Vermont Energy Investment Corporation	STATEWIDE	Statewide	Commercial Imp Assist, Technical Review and Pr..	150,000
				Strategic Energy Manager, RFP 3352	997,496
	Vivint Solar, Inc.	STATEWIDE	Statewide	NY Green Bank, Vivint Solar Revolver	19,000,000
	Wadsworth Energy LLC	STATEWIDE	Statewide	Rmve Barriers Dist Enrgy Storg, Energy Storage	49,900
	Wendel Energy Services, LLC	STATEWIDE	Statewide	Industrial Process Effic, FlexTech Consultant Sel..	150,000
				K-12 SCHOOLS, FlexTech Consultant Selection	600,000
	West Group Law PLLC	STATEWIDE	Statewide	>200KW PV, RFP 3300 Outside Counsel Servi	50,000
	West Harlem Environmental A..	STATEWIDE	Statewide	REVitalize, RFP 3584 Revitalize	65,000
	Willdan Energy Solutions	STATEWIDE	Statewide	Commercial Real Estate Ten, Commercial	190,000
				Industrial Process Effic, Industrial & Agriculture	497,521
	Xerox Corp	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Facilities Manag..	269,102
				NYSERDA ADMINISTRATION, Xerox Maintenanc..	22,000
	Yale University	STATEWIDE	Statewide	Campus/Technical Assistance, Clean Heating & ..	120,000
	Total				235,283,738
Western New York	Adam C. Boese	Allegany	National Grid	Technical Services, FlexTech Consultant Selecti..	2,500
		Erie	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,500
				Technical Services, FlexTech Consultant Selecti..	2,500
			NYS Electric and Gas	Agriculture Energy Eff Pgm, FlexTech Consultant..	2,570
		Niagara	National Grid	Technical Services, FlexTech Consultant Selecti..	2,500
	American Solar Partners, LLC	Erie	National Grid	<200KW PV, NY Sun	24,174
	Belmont Housing Resources f..	Erie	National Grid	Low Rise New Construction, New Construction	37,000
	Broadway Fillmore NHS Inc	Erie	National Grid	Low Rise New Construction, New Construction	11,000
	Buffalo & Pittsburgh Railroad, ..	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, N..	6,000
	Buffalo Geothermal Heating	Erie	National Grid	Geothermal Incentive Program, Large-Scale GS..	427,740
			NYS Electric and Gas	Geothermal Incentive Program, Large-Scale GS..	18,984
	Buffalo Renewables, Inc.	Chautauqua	National Grid	Small Wind, Wind Turbine Incentive	70,500
		Niagara	National Grid	Small Wind, Wind Turbine Incentive	101,100
			NYS Electric and Gas	Small Wind, Wind Turbine Incentive	23,500
	Buffalo Solar Solutions Inc	Allegany	Rochester Gas and El..	<200KW PV, NY Sun	5,434
		Cattaraugus	National Grid	<200KW PV, NY Sun	15,995
		Chautauqua	National Grid	<200KW PV, NY Sun	99,360
		Erie	National Grid	<200KW PV, NY Sun	15,059
			NYS Electric and Gas	<200KW PV, NY Sun	10,903
		Niagara	National Grid	<200KW PV, NY Sun	13,445
	C.J. Brown Energy, P.C.	Chautauqua	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	3,497
		Erie	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	3,497

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Western New York	C.J. Brown Energy, P.C.	Erie	National Grid	Flexible Tech Assistance, FlexTech Consultant S..	1,582
			NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant S..	9,428
	CannonDesign	Erie	National Grid	REV Campus Challenge, FlexTech Consultant S..	73,890
	Cascades Containerboard Pa..	Niagara	National Grid	Flexible Tech Assistance, FlexTech Program - P..	22,513
	CHA Consulting Inc.	Erie	National Grid	Flexible Tech Assistance, FlexTech Consultant S..	70,650
				Industrial Process Effic, Technical Review and Pr..	18,500
		Niagara	National Grid	Industrial Process Effic, Technical Review and Pr..	14,000
	Cheektowaga, Town of	Erie	NYS Electric and Gas	Clean Energy Communities, PON 3298 CEC	250,000
	CIR ELECTRICAL CONSTRUCTION CORP.	Chautauqua	National Grid	<200KW PV, NY Sun	7,350
		Erie	NYS Electric and Gas	<200KW PV, NY Sun	5,042
	D. F. Brandt, Inc.	Erie	National Grid	Industrial Process Effic, Industrial Process Efficie..	81,149
	Diversified Control Inc.	Erie	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	56,324
	Enercon Services Inc	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, R..	34,413
	Forbes-Capretto Homes	Erie	NYS Electric and Gas	Low Rise New Construction, New Construction	38,850
	Frederick Douglass I 2017, LLC	Erie	National Grid	Multifam Performance Pgm, Multifamily	60,900
	Freedom Solar Inc.	Cattaraugus	National Grid	<200KW PV, NY Sun	5,444
		Erie	NYS Electric and Gas	<200KW PV, NY Sun	2,100
		Niagara	National Grid	<200KW PV, NY Sun	5,544
	Grant Street Apartments LLC	Erie	National Grid	Low Rise New Construction, New Construction	51,200
	GRE Fund III Holdco LLC	Erie	NYS Electric and Gas	>200KW PV, NY Sun C/I	447,205
	Heartland Homes Constructio..	Erie	National Grid	Low Rise New Construction, New Construction	5,000
	Jefferson Avenue Apartments ..	Erie	National Grid	Low Rise New Construction, New Construction	74,000
	L&S Energy Services, Inc.	Erie	NYS Electric and Gas	Industrial Process Effic, Technical Review and Pr..	12,350
	LaBella Associates, P.C.	Erie	National Grid	Flexible Tech Assistance, FlexTech Consultant S..	19,000
		Niagara	National Grid	Agriculture Energy Eff Pgm, FlexTech Consultant..	6,000
	McMahon and Mann Consulti..	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, E..	550,000
	Monolith Solar Associates, LLC	Erie	National Grid	<200KW PV, NY Sun	64,202
	Mt Olive Development Corpor..	Erie	National Grid	Low Rise New Construction, New Construction	8,000
	Natale Builders	Erie	NYS Electric and Gas	Low Rise New Construction, New Construction	42,800
	Norstar Development USA, LP	Erie	National Grid	Low Rise New Construction, New Construction	273,200
	People United for Sustainable ..	Erie	National Grid	REVitalize, RFP 3584 Revitalize	65,000
	Powerhouse Dynamics, Inc	Niagara	National Grid	Real Time Enrgy Management, Powerhouse-Five..	1,984
	Rural Generation & Wind (Ro..	Erie	National Grid	<200KW PV, NY Sun	6,720
	Snyder Manufacturing, Inc	Allegany	Rochester Gas and El..	Geothermal Incentive Program, Large-Scale GS..	70,044
		Cattaraugus	National Grid	Geothermal Incentive Program, Large-Scale GS..	12,576
	Solar Liberty Energy Systems, Inc	Cattaraugus	NYS Electric and Gas	<200KW PV, NY Sun	486
		Chautauqua	Municipal Utilities	<200KW PV, NY-Sun	11,282
			National Grid	<200KW PV, NY Sun	34,416
				<200KW PV, NY-Sun	6,636
		Erie	National Grid	<200KW PV, NY Sun	22,108
			NYS Electric and Gas	<200KW PV, NY Sun	5,494
		Niagara	National Grid	<200KW PV, NY Sun	22,051
			NYS Electric and Gas	<200KW PV, NY Sun	8,715
		Erie	National Grid	<200KW PV, NY Sun	6,090
		Cattaraugus	National Grid	Industrial Process Effic, Industrial Process Efficie..	106,346
	Taitem Engineering, P.C.	Allegany	NYS Electric and Gas	<200KW PV, NY Sun	6,174
	Town of Amherst	Erie	National Grid	Clean Energy Communities, Town of Amherst	250,000
	Town of Aurora	Erie	NYS Electric and Gas	Clean Energy Communities, CEC101467 - Town ..	50,000
	Town of Ellicott	Cattaraugus	National Grid	CLEANER GREENER COMMUNITIES, CEC101..	702
	Town of Ellicottville	Cattaraugus	National Grid	Clean Energy Communities, Town of Ellicottville	50,000
	Town of Kiantone	Chautauqua	National Grid	Clean Energy Communities, Town of Kiantone	50,000
	Town of Persia	Cattaraugus	NYS Electric and Gas	Clean Energy Communities, PON 3298 CEC	50,000

Projects Selected for Funding by Region

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Western New York	Village of Lakewood	Chautauqua	National Grid	Clean Energy Communities, Village of Lakewood	100,000
	Village of Westfield	Chautauqua	Municipal Utilities	CLEANER GREENER COMMUNITIES, Village o..	50,000
	Wendel Energy Services, LLC	Chautauqua	National Grid	Flexible Tech Assistance, FlexTech Consultant S..	16,200
		Niagara	National Grid	Flexible Tech Assistance, FlexTech Consultant S..	25,000
			NYS Electric and Gas	Flexible Tech Assistance, FlexTech Consultant S..	16,000
	West Seneca Central School	Erie	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	15,712
	Whitehaven Solar A, LLC	Erie	National Grid	>200KW PV, NY Sun-Assignment	1,027,902
	Total				5,298,033
Grand Total					1,109,841,141

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Contract Description	Total Expended Amount
1st Light Energy, Inc.	<200KW PV, NY Sun	24,302
	<200KW PV, NY-Sun	15,230
3M Company	Industrial Process Effic, Industrial Process Efficiency	34,182
18th Street Fulton Equities LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	63,200
20 East 9th Street Corp.	COMBINED HEAT AND POWER, DG CHP at Brevoort East	7,287
22nd Century Technologies, Inc.	NYSERDA ADMINISTRATION, Staff Augmentation	67,197
38 Astoria Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	18,450
110 Petroleum Corp	FUEL NY, PGI00278 - 110 Petroleum Corp	76,050
174-02 Horace Harding Expressway O..	FUEL NY, PGI00112 - 174-02 Horace Hardi	123,688
233 West 125th Street Danforth, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	32,470
322 Kear LLC	Low Rise New Construction, New Construction	13,000
375 Park Avenue Investors LP	EXISTING FACILITIES, DMP Bonus - 375 Park Ave Inves	70,699
400 Ocean Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	39,000
414 Property Holdings LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	28,000
450 Partners LLC	EXISTING FACILITIES, EFP2378 - Brookfield Office Pr	1,360,916
510 West 22nd Street Owner LLC	NEW CONSTRUCTION PROGRAM, NCP11107 - 510 West 22nd Stree	58,149
525 West 52 Property Owner LLC	NEW CONSTRUCTION PROGRAM, NCP12076 - 525 West 52nd Stree	71,888
540 West 26th Street Property Investo..	NEW CONSTRUCTION PROGRAM, NCP12443 - 540 West 26th Stree	70,288
606 West 57 LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	308,400
675 Ownership, LLC	Flexible Tech Assistance, FlexTech Program	12,125
1185 Straight Path Corp.	FUEL NY, PGI00122 - 1185 Straight Path	92,217
1236 Pacific LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	42,000
1406RB PV LLC	>200KW PV, C/I MW Block Assignment	140,568
2015 ESA Project Company, LLC	FUEL CELLS, RPS FC - Home Depot #1215	105,000
	FUEL CELLS, RPS FC - Home Depot #1249	105,000
	FUEL CELLS, RPS FC - Home Depot #1251	92,591
	FUEL CELLS, RPS FC - Home Depot #1256	685,000
	FUEL CELLS, RPS FC - Home Depot #1281	105,000
	FUEL CELLS, RPS FC - Home Depot #6152	93,676
2710 Morris Avenue Co., LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	60,000
4201 Webster Realty LLC	FUEL NY, PGI00066 - 4201 Webster Realty	124,121
19270 Bach Rd	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	2,089
ABB, Incorporated	DER Integration(Intrcnct), PON 3404 DER Integration	104,008
Abt Associates Inc.	Combined Heat and Power, Flex Energy Tech Analysis 2	24,220
	ENVIRONMENTAL RESEARCH, Community Flood Risk	15,691
	ENVIRONMENTAL RESEARCH, Environmental Res. Outreach	2,257
	Environmental Research, Flex Energy Tech Analysis 2	20,666
Access Supports for Living Inc.	Low Rise New Construction, New Construction	65,600
Action Research Inc.	ADVANCED BUILDINGS, Behavior Integrated Clean Ener	21,972
Active Solar Development, LLC	<200KW PV, NY Sun	25,289
Adam C. Boese	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	243,035
	Commercial Real Estate Ten, Daylight Savings-25 Main St-CT	5,000
	Technical Services, FlexTech Consultant Selection	51,320
Adelphi University	COMBINED HEAT AND POWER, CHPPerformance Program-PON2701	700,000
Adirondack Center for Loon	ENVIRONMENTAL RESEARCH, Loons: monitor biotic mercury	15,400
Adirondack Lakes Survey Corporation	Environmental Research, RFP 3702 Stream Sampling	47,461
Adirondack North Country Association	CLEANER GREENER COMMUNITIES, CGC42502 - CGC One Stop Shop	54,575
	Community Energy Engagement, CEEP North Country Region-ANCA	52,560

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Contract Description	Total Expended Amount
Adirondack North Country Association	OTHER PROGRAM AREA, CEEP North Country Region-ANCA	22,629
ADK Solar	<200KW PV, NY-Sun	5,236
ADM Associates, Inc.,	EVALUATION, ADM Associates Inc. TWO	57,005
	Industrial Process Effic, ADM Associates Inc. TWO	10,858
AECOM Technical Services Inc.	WEST VALLEY DEVELOPMENT PROGRAM, Environmental Monitoring S..	175,956
Aegis Energy Services Inc.	Combined Heat and Power, CHPA - 63 Wall Street	151,470
	Combined Heat and Power, CHPA - 180 West End	103,950
	COMBINED HEAT AND POWER, CHPA - 220 Madison	45,900
	Combined Heat and Power, CHPA - Cannon Heights	53,460
	Combined Heat and Power, CHPA - The Promenade	53,460
Aeonsolar	<200KW PV, NY Sun	8,892
AEP Onsite Partners, LLC	NY-SUN, PV System @ Madison County	292,385
	PV System @ Camden Central Sch	292,385
AES Greece Solar, LLC	>200KW PV, NY-Sun C&I	62,794
AES Monroe Solar A, LLC	>200KW PV, NY Sun C/I	450,076
AES Monroe Solar B, LLC	>200KW PV, NY-Sun C/I	450,076
AES Monroe Solar C, LLC	>200KW PV, NY-Sun C/I	533,340
AES Monroe Solar D, LLC	>200KW PV, NY-Sun C/I	533,340
AES Monroe Solar E, LLC	>200KW PV, NY-Sun C/I	533,340
AES Rochester Solar, LLC	>200KW PV, NY-Sun C&I	202,766
AES Wawarsing Solar, LLC	>200KW PV, NY-Sun C/I	158,790
Affordable Housing Partnership	Community Energy Engagement, CEEP Capital Region (AHP)	52,186
Ahearn Holtzman Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,048,725
Airport Enterprises Inc	FUEL NY, PGI00292 - Airport Enterprises	84,750
AKF-engineers	Flexible Tech Assistance, FlexTech Consultants Statewide	17,200
Akwesasne Housing Authority	NY-SUN, Affordable Solar Akwesasne	20,000
Albany Energy, LLC	LARGE SCALE RENEWABLES, Albany 2	138,616
	LARGE SCALE RENEWABLES, Albany Energy LLC	31,633
Albany Engineering Corp.	LARGE SCALE RENEWABLES, Mechanicville Hydro	174,300
	LARGE SCALE RENEWABLES, Stuyvesant Falls Hydroelectric	168,051
Albany Management	NEW YORK ENERGY STAR HOMES, New Construction	51,000
Albany Solar Solutions L.L.C.	<200KW PV, NY Sun	21,209
	<200KW PV, NY-Sun	5,880
Albany, City of,	CLEANER GREENER COMMUNITIES, CGC28993 - City of Albany	20,000
Albireo Energy, LLC	Real Time Engy Management, 1700 LH - 1700 Broadway - RTEM	2,250
All Systems Cogeneration, Inc.	COMBINED HEAT AND POWER, CHP - Elbee Gardens	79,200
	COMBINED HEAT AND POWER, CHPA - Morrisania	61,200
Allegis Group Holdings Inc	Campus/Technical Assistance, Staff Augmentation Services	8,487
	Community RH&C, Staff Augmentation Services	25,462
	New Construction- Commercial, Staff Augmentation Services	27,092
	NEW YORK GREEN BANK, Staff Augmentation Services	10,107
	NY-SUN, Staff Augmentation Services	25,441
	Renewable Heat NY, Staff Augmentation Services	11,317
	Solar Thermal, Staff Augmentation Services	11,317
Allen Operating Company LLC	Flexible Tech Assistance, FlexTech Program - PON 1746	8,703
Allen Power, Inc.	SMART GRID SYSTEMS, RFP 3044 R2	55,000
Alliance Energy LLC	FUEL NY, PGI00103 - Alliance Energy LLC	113,607
Alliance for Green Heat	RENEWABLE HEAT NY, Energy and Environmental Perfo	14,750

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Alliance for Housing Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	82,300
Alliance for Sustainable Energy, LLC	ADVANCED BUILDINGS, Advanced Buildings Technology	101,347
Altanova LLC	Commercial Real Estate Ten, Altanova-60 E 42nd St-CT	16,506
	Commercial Real Estate Ten, Altanova-1095 AoA-CT	16,065
	Flexible Tech Assistance, FlexTech Consultant Selection	21,813
Alternative Power Solutions of NY, LLC	<200KW PV, NY Sun	66,585
Ambrosino, DePinto & Schmieder	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	3,290
Amergy Solar Inc.	<200KW PV, NY Sun	38,380
American Energy Care, Inc.	<200KW PV, NY-Sun	14,544
Ampersand Olcott Harbor Hydro LLC	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	930
Ampersand Tannery Island Hydro, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	3,895
Amphora Consulting	NYSERDA ADMINISTRATION, Strategic Program Dev Training	26,000
Amphora Oil and Gas	FUEL NY, PGI00115 - Amphora Oil and Gas	101,264
Antares Group, Inc.	CI Engy Siting & Soft Cost Red, Technical Review and Program S	7,132
	COMBINED HEAT AND POWER, Technical Review and Program S	32,923
	Geothermal Incentive Program, Technical Review and Program S	28,765
	Industrial Process Effic, Technical Review and Program S	6,814
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	24,507
Apex Solar Power LLC	<200KW PV, NY Sun	30,404
	<200KW PV, NY-Sun	5,040
APX Inc.	LARGE SCALE RENEWABLES, NYGATS	199,718
	REC:CES REC System Dev Costs, NYGATS	206,263
	ZEC:CES ZEC System Dev Costs, NYGATS	127,887
Arcadis of New York, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	8,242
	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	1,250
	Industrial Process Effic, FlexTech Consultant Selection	13,167
	OTHER PROGRAM AREA, Large Scales Renewables Techni	23,250
Arcadis U.S., Inc.	COMBINED HEAT AND POWER, Tech Review & Program Staff	17,662
	Commercial Imp Assist, Tech Review & Program Staff	23,126
	Commercial New Construc, Tech Review & Program Staff	12,202
	EXISTING FACILITIES, Tech Review & Program Staff	146,431
	FUEL NY, Tech Review & Program Staff	863,127
	Industrial Process Effic, Tech Review & Program Staff	25,115
	INDUSTRIAL PROCESS EFFICIENCY, Tech Review & Program Staff	3,108
	NEW CONSTRUCTION PROGRAM, Tech Review & Program Staff	69,144
	Real Time Enrgy Management, Tech Review & Program Staff	25,225
Arch Street Communications, Inc.	Clean Energy Communities, Marketing Support for NYSERDA	74,761
Argos Solar, LLC	NY-SUN, PV System @ Cornell - Geneva	450,078
Arlington Central School District	EXISTING FACILITIES, EFP2628 - Arlington CSD	286,993
Arnold & Porter Kaye Scholer LLP	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Counsel ..	4,906
Arthur Kill Fuels LLC	FUEL NY, PGI00267 - Arthur Kill Fuels	84,750
Arts Center and Theater of Schenecta..	CLEANER GREENER COMMUNITIES, CGC27842 - Marquee Power Proct	42,143
Asian Americans for Equality, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	69,300
Atelier Ten	Commercial New Construc, ATEN - EMP	23,617
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	7,516
Aurora Ridge Dairy LLC	ANAEROBIC DIGESTER, Aurora Ridge Dairy Scrubber	9,067
Autonomous Energies LLC	<200KW PV, NY Sun	14,892
Autronic Plastics, Inc.	ADVANCED BUILDINGS, Advanced Transportation Techno	2,662

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Contractor	Contract Description	Total Expended Amount
Autronic Plastics, Inc.	CLEAN TRANSPORTATION, Advanced Transportation Techno	13,338
	CLEAN TRANSPORTATION, Metro Platform Light	3,325
	Pub Transit & Elect Rail, Wireless Transit Lighting	20,000
Avalon Willoughby West, LLC	NEW CONSTRUCTION PROGRAM, NCP11404 - Avalon Willoughby	278,877
Avangrid Renewables, LLC	LARGE SCALE RENEWABLES, Hardscrabble Wind Energy	591,422
	LARGE SCALE RENEWABLES, Hardscrabble Wind Power LLC	698,787
AWS Truepower	Off-Shore Wind Pre-Dev Act, RFP 3462	14,950
Barbaera Homes and Development, In..	Low Rise New Construction, New Construction	5,650
Bard College	REV Campus Challenge, RFP 3214 REV Campus Challenge	20,780
Barry X Ball Studio Inc	NEW CONSTRUCTION PROGRAM, NCP12163 - Banker St	4,958
BASF Colors and Effects USA, LLC	Industrial Process Effic, Industrial Process Efficiency	16,239
Baychester Petroleum LLC	FUEL NY, PGI00067 - Baychester Petroleu	90,265
Beacon Communities Services LLC	Low Rise New Construction, New Construction	47,000
Behavioral Ideas Lab, Inc.	ADVANCED BUILDINGS, Behavior Overview & Design	154
Belmonte Builders	Low Rise New Construction, New Construction	19,950
Bentham Foundation	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	20,000
Bergmann Associates	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Commercial Imp Assist, Technical Review and Program S	59
	EXISTING FACILITIES, Technical Review and Program S	7,336
	Flexible Tech Assistance, FlexTech Consultant Selection	7,077
	Flexible Tech Assistance, Technical Review and Program S	14,949
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	29,849
	Industrial Process Effic, Technical Review and Program S	26,272
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	36,654
	On-Site Energy Manager, FlexTech Consultant Selection	36,203
	Renewable Heat NY, Technical Review and Program S	6,735
Bergmann Associates, P.C.	CLEAN TRANSPORTATION, Mkt Trn (no longer in use)	5,302
Best Energy Power	<200KW PV, NY Sun	243,065
Bethlehem Central School District	EXISTING FACILITIES, EFP2356-Bethlehem Central Scho	254,137
Betlem Service Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	118,917
BHP Energy LLC	Combined Heat and Power, CHPA - Bouck Pool Building - S	63,707
Binghamton Regional	Community RH&C, PON3723 RH&C Campaigns	18,750
	COMMUNITY SOLAR, Solarize 2018	25,000
	REVitalize, RFP 3584 Revitalize	26,000
BioDiversity Research Institute	Environmental Research, BRI: TWO umbrella agreement	79,210
	Off-Shore Wind Pre-Dev Act, BRI: TWO umbrella agreement	14,798
Black River Hydroelectric, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	215,820
Blue Pillar Inc.	EXISTING FACILITIES, DMP Bonus - Blue Pillar	48,000
Bluestone RRSI, LLC	ADVANCED BUILDINGS, Rebuild Resilient Staten Is.	69,764
Bolla EM Realty LLC	FUEL NY, GSP00288 - Bolla EM Realty LLC	9,929
	FUEL NY, GSP00292 - Bolla EM Realty LLC	10,000
Bolla Operating LI Corp.	FUEL NY, PGI00032 - Bolla Operating LI	101,239
	FUEL NY, PGI00086 - Bolla Operating LI	84,816
	FUEL NY, PGI00088 - Bolla Operating LI	68,674
	FUEL NY, PGI00102 - Bolla Operating LI	93,502
	FUEL NY, PGI00142 - Bolla Operating LI	77,437
Bond, Schoeneck & King, PLLC	NYSERDA ADMINISTRATION, Outside Legal Services	3,235
	NYSERDA ADMINISTRATION, RFP 3300 Outside Counsel Servi	9,425

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Contractor	Contract Description	Total Expended Amount
Bond, Schoeneck & King, PLLC	OREC: Technical Support, RFP 3300 Outside Counsel Servi	31,097
	OTHER PROGRAM AREA, RFP 3300 Outside Counsel Servi	27,267
Bonduelle	Industrial Process Effic, Industrial Process Efficiency	31,590
Booz Allen Hamilton, Inc.	High Performing Grid, PON 3397 CAT D	20,000
	OTHER PROGRAM AREA, RFP 3044 R2	460,000
Bowery Holdings	NEW CONSTRUCTION PROGRAM, NCP11116 - 50 Bowery	24,099
BQ Energy, LLC	NY-SUN, Town of Esopus Landfill	181,383
Bridge Square Building LLC	NEW CONSTRUCTION PROGRAM, NCP10726 - Bridge Square Build	35,070
Bright Power, Inc.	<200KW PV, NY Sun	152,156
	<200KW PV, NY-Sun	29,559
	ADVANCED BUILDINGS, PV Battery backup system demo	90,000
	Retrofit NY, Multifamily	37,500
Brooklyn SolarWorks LLC	NY Sun	15,552
	NY-Sun	33,500
Broome Community College	REV CAMPUS CHALLENGE, RFP 3214 REV Campus Challenge	48,000
BSREP UA Miles LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	221,650
BTMI Engineering, PC	Off-Shore Wind Pre-Dev Act, RFP 3462	11,443
Buckeye Terminals, LLC	FUEL NY, Upstate NY Strategic Fuels Res	651,229
Buckhurst, Fish, Jacquemart, Inc.	CLEAN TRANSPORTATION, Institutionalizing Integrated	10,103
	CLEAN TRANSPORTATION, Mobile New Rochelle Feasibilit	19,791
Buffalo Geothermal Heating	Geothermal Incentive Program, Large-Scale GSHP Rebate	95,692
Buffalo Solar Solutions Inc	<200KW PV, NY Sun	71,419
Building Media, Inc.	ADVANCED ENERGY CODES, Energy Code Training and Suppo	14,407
BW Research Partnership	OTHER PROGRAM AREA, New York Clean Energy Jobs Stu	121,308
	Workforce Industry Partnership, New York Clean Energy Jobs Stu	0
Byrne Dairy, Inc.	On-Site Energy Manager, OsEM2-I - Byrne Dairy-Ultra	43,254
C.J. Brown Energy, P.C.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	15,945
	Flexible Tech Assistance, FlexTech Consultant Selection	5,712
C.T. Male Associates Engineering,	EXISTING FACILITIES, Technical Review and Program S	2,208
	Industrial Process Effic, Technical Review and Program S	5,678
C&S Engineers, Inc.	Flexible Tech Assistance, FlexTech Consultant Selection	11,483
C&S Oil Corporation	FUEL NY, PGI00121 - C&S Oil Corporation	99,100
Cadenza Innovation, Inc.	Energy Storage Tech/Prod Dev, PON3249 ACE	90,000
Calstart	CLEAN TRANSPORTATION, Implementation contractor for	169,033
	CLEANER GREENER COMMUNITIES, CGC54612 - CALSTART	78,169
CAMBA Housing Ventures, Inc.	Multifam New Construction, MFNCP PPES T2-210-214 Hege	15,550
Capital Construction Services of NY, I..	NEW YORK ENERGY STAR HOMES, New Construction	50,000
Capital District Regional Planning Comm.	CGC53356 - CDRPC	42,190
	CLEANER GREENER COMMUNITIES, CGC53356 - CDRPC	410,410
Car Care of Manhasset Inc	FUEL NY, PGI00107 - Car Care of Manhass	128,326
Cascades Containerboard Packaging	Flexible Tech Assistance, FlexTech Program - PON 1746	11,257
Catskill Mountainkeeper, Inc	Community RH&C, PON3723 RH&C Campaigns	4,500
CDH Energy Corporation	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	921
CEC Stuyvesant Cove, Inc.	CLEANER GREENER COMMUNITIES, CGC55294 - Solar One	295,583
	NY-SUN, Affordable Solar Predevelopmen	25,319
Center for Sustainable Energy	Electric Vehicles - Rebate, ChargeNY ZEV Rebate Imp Contra	77,137
	OTHER PROGRAM AREA, Centralized Services & Support	3,798
	OTHER PROGRAM AREA, ChargeNY ZEV Rebate Imp Contra	99,068

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Contractor	Contract Description	Total Expended Amount
Centerstate Corporation for	Cleantech Incubator, PON3413 Clean Energy Incubator	150,000
Central New York Regional Planning and	CLEANER GREENER COMMUNITIES, CGC57053 - CNY RPDB	361,492
	SMART GRID SYSTEMS, RFP 3044 R2	110,000
Certified Heating Oils, Inc.	FUEL NY, PGI00220 - Certified Heating	112,302
	FUEL NY, PGI00225 - Certified Heating	115,250
CHA Consulting Inc.	EXISTING FACILITIES, Technical Review and Program S	21,685
	Flexible Tech Assistance, FlexTech Consultant CHA	30,470
	Flexible Tech Assistance, FlexTech Consultant Selection	83,031
	Flexible Tech Assistance, Technical Review and Program S	56,655
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	99,935
	Industrial Process Effic, Commercial & Industrial Outrea	175
	Industrial Process Effic, Industrial & Agriculture	337,108
	Industrial Process Effic, Staff Augmentation Services	7,076
	Industrial Process Effic, Technical Review and Program S	144,050
	INDUSTRIAL PROCESS EFFICIENCY, Commercial & Industrial Outrea	0
	INDUSTRIAL PROCESS EFFICIENCY, Staff Augmentation Services	16,510
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	147,622
	On-Site Energy Manager, Commercial & Industrial Outrea	29
	On-Site Energy Manager, FlexTech Consultant CHA	88,355
	On-Site Energy Manager, Industrial & Agriculture	38,082
	OTHER PROGRAM AREA, FlexTech Consultant CHA	3,340
	Renewable Heat NY, Technical Review and Program S	6,645
	Strategic Energy Manager, Commercial & Industrial Outrea	29
	Strategic Energy Manager, Industrial & Agriculture	34,538
Champlain Valley Apple Storage, Inc.	Industrial Process Effic, Industrial Process Efficiency	5,685
Charles River Laboratories, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	120,750
Chautauqua County	LARGE SCALE RENEWABLES, Chautauqua LFGE	141,900
Chris Benedict	Retrofit NY, Multifamily	37,500
ChromaNanoTech LLC	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	50,000
CIR ELECTRICAL CONSTRUCTION C..	<200KW PV, NY Sun	16,982
Citigroup Technology, Inc.	ADVANCED BUILDINGS, EFP/DMP2465 - Citigroup	105,105
	EXISTING FACILITIES, EFP/DMP2465 - Citigroup	1,910,823
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	73,271
City of Auburn	LARGE SCALE RENEWABLES, Mill Street Dam Hydro	4,415
	REC:CES REC Contracts, 11th Main Tier Solicitation	8,258
City of Binghamton	SMART GRID SYSTEMS, RFP 3044 R2	100,000
City of Cohoes	Clean Energy Communities, City of Cohoes	77,500
	CLEANER GREENER COMMUNITIES, CGC42156 - City of Cohoes	18,500
City of Cortland	CLEANER GREENER COMMUNITIES, CGC29757 - City of Cortland	38,244
City of Lockport	COMMUNITY SOLAR, Solarize 2018	5,000
City Of New York	CLEANER GREENER COMMUNITIES, CGC41973 - NYC Dept. Parks Rec	30,000
	CLEANER GREENER COMMUNITIES, CGC43226 - New York City	977,989
	NEW CONSTRUCTION PROGRAM, CGC43226 - New York City	0
	OTHER PROGRAM AREA, Newtown Creek WWTP food waste	26,264
City of Rochester	Clean Energy Communities, City of Rochester	62,500
City of Schenectady	CLEANER GREENER COMMUNITIES, CGC61854 - City of Schenectady	156,033
City of Utica	REvitalize, RFP 3584 Revitalize	26,000
City of Watervliet	CLEANER GREENER COMMUNITIES, CGC39768 - City of Watervliet	66,500

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Contractor	Contract Description	Total Expended Amount
Claire Weisz Architects	CLEAN TRANSPORTATION, Optimizing the Curb	55,849
Clarkson Univ., Research Div.	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	77,880
Clarkson University	ENVIRONMENTAL RESEARCH, Guidance for Thermal Storage	27,926
	RENEWABLE HEAT NY, Community Exposure to WS Roch	0
	SMART GRID SYSTEMS, EPTD Smart Grid Program	140,985
Clean Technologies A LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	22,193
CLEAResult Consulting, Inc.	>200KW PV, Centralized Services & Support	39,272
	Air Source Heat Pumps, Centralized Services & Support	39,539
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Centralized S..	2,153
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Technical Sup..	11,956
	Centralized Services & Support	400,000
	Commercial New Construc, Centralized Services & Support	10,393
	EMPOWER NY, Centralized Services & Support	72,281
	EMPOWER NY, Technical Support SFR	16,848
	EXISTING FACILITIES, Centralized Services & Support	110
	Geothermal Incentive Program, Centralized Services & Support	26,046
	Home Perf w Energy Star, Centralized Services & Support	281,827
	Home Perf w Energy Star, Technical Support SFR	607,527
	HOME PERFORMANCE WITH ENERGY STAR, Centralized Services & Su..	2,591
	HOME PERFORMANCE WITH ENERGY STAR, Technical Support SFR	17,434
	Industrial Process Effic, Centralized Services & Support	7,253
	K-12 SCHOOLS, Centralized Services & Support	331
	LMI Community Solar, Centralized Services & Support	6,658
	Low Rise New Construction, Centralized Services & Support	34,042
	Multifam New Construction, Centralized Services & Support	27,234
	Multifam Performance Pgm, Centralized Services & Support	17,827
	NEW YORK ENERGY STAR HOMES, Centralized Services & Support	13,605
	NYSERDA ADMINISTRATION, Phone Email & Web Support	49,621
	Technical Services, Centralized Services & Support	6,602
	Technical Support SFR	625,000
ClearStak LLC	RENEWABLE HEAT NY, Round-Robin Testing Program	22,125
CNY Solar, Inc.	<200KW PV, NY Sun	67,245
Code Green Solutions, Inc.	Commercial Real Estate Ten, CodeGreen-201 EC Ave-CT	5,000
	Commercial Real Estate Ten, CodeGreen-Multisite-CT	40,000
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	45,360
Cogeneration Contractors, Inc.	COMBINED HEAT AND POWER, CHPA - River Park Residences	445,500
Cohen Ventures Inc	Air Source Heat Pumps, FlexTech Consultant Selection	11,502
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, C..	200,076
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, E..	16,306
Columbia University	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-Concep..	185,000
Columbia University Medical Center	NEW CONSTRUCTION PROGRAM, NCP98430 - Jerome L. Greene Ce	107,097
Comalli Group, Inc.	<200KW PV, NY Sun	5,499
Combined Energies LLC	Energy Storage Tech/Prod Dev, PON 3585 Energy Storage Cat B	241,620
Community Development Corporation..	NEW YORK ENERGY STAR HOMES, New Construction	135,000
Comunilife, Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	26,700
CON EDISON SOLUTIONS, INC.	>200KW PV, NY Sun	12,776
Concord Servicing Corporation	GJGNY REVOLVING LOAN FUND, Codes, Products and Standards	1,422
	GJGNY REVOLVING LOAN FUND, Multifamily	335

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Congregation Beit Simchat Torah	NEW CONSTRUCTION PROGRAM, NCP12713 - CBST Synagogue	14,485
Consolidated Edison Company	SMART GRID SYSTEMS, Competitive Greenhouse Gas	212,500
Cooper Friedman Electric Supply Co. I..	NY-SUN, NY-Sun Comp. Monroe Cable	192,652
Copses Farms LLC	Commercial New Construc, NCP15054 - Copses Dairy	47,579
COR Rensselaer Company III Inc	CLEANER GREENER COMMUNITIES, CGC31256 - COR Inner Harbor	19,500
Cornell Cooperative Extension - Tomp..	Community Energy Engagement, CEEP Southern Tier Region (CCE	83,334
Cornell University	ENVIRONMENTAL RESEARCH, Dairy cooling demonstration	19,999
	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	74,247
	ENVIRONMENTAL RESEARCH, improve EE of crop production	1,933
	ENVIRONMENTAL RESEARCH, NY climate clearinghouse	15,000
	ENVIRONMENTAL RESEARCH, optimize LED for greenhouses	2,142
	ENVIRONMENTAL RESEARCH, Rainfall IDF Curves	16,545
	NEW CONSTRUCTION PROGRAM, NCP11138 - Cornell NYC Tech	10,014
	OTHER PROGRAM AREA, 76West Building a Clean Energy	276,739
Cornell University-Office of Sponsored P	ENVIRONMENTAL RESEARCH, Building Downwash Effect	14,439
	ENVIRONMENTAL RESEARCH, virtual greenhouse tool	845
	RENEWABLE HEAT NY, Biomass-Fired Emission Sources	13,624
	SMART GRID SYSTEMS, Anaerobic Digestion Assistance	41,875
Cornerstone Energy Services	Renewable Heat NY, Cornerstone - Town of Chateaug	34,925
	Renewable Heat NY, Cornerstone/Lennox	30,500
Corning Inc.	INDUSTRIAL PROCESS EFFICIENCY, PON1219IP4	18,535
County of Cayuga	Clean Energy Communities, County of Cayuga	62,500
County of Erie Comptrollers Office	NEW CONSTRUCTION PROGRAM, NCP12832-ECCNorthCampusSTEM	51,643
Courtney-Strong Inc.	CLEANER GREENER COMMUNITIES, CGC53012 - Courtney Strong	71,686
CPD NY Energy	FUEL NY, GSP00508-001 - CPD NY Energy C	5,931
	FUEL NY, GSP00508-003 - CPD NY Energy C	9,509
	FUEL NY, GSP00508-005 - CPD NY Energy C	9,509
	FUEL NY, GSP00509-001 - CPD NY Energy C	9,509
	FUEL NY, GSP00509-002 - CPD NY Energy C	9,009
	FUEL NY, GSP00509-007 - CPD NY Energy C	9,509
	FUEL NY, GSP00509-008 - CPD NY Energy C	9,509
	FUEL NY, GSP00509-009 - CPD NY Energy C	9,117
	FUEL NY, GSP00509-010 - CPD NY Energy C	9,940
	FUEL NY, GSP00669-001 - CPD NY Energy C	10,000
	FUEL NY, GSP00669-002 - CPD NY Energy C	9,522
	FUEL NY, GSP00669-003 - CPD NY Energy C	8,559
Crest Solar LLC	<200KW PV, NY Sun	17,724
	<200KW PV, NY-Sun	6,576
Cross Bronx Services Station Corp	FUEL NY, PGI00065 - Cross Bronx Service	101,838
Croton Energy Group, Inc.	<200KW PV, NY Sun	13,680
CT 2525 Beverly LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	27,000
Cubit Power One Inc.	COMBINED HEAT AND POWER, CHP Performance Program	300,000
CUNY Institute for Urban Systems - Cl..	ADVANCED BUILDINGS, Assist operators of BAS	26,900
Currier Plastics	INDUSTRIAL PROCESS EFFICIENCY, Pre-Enc	4,758
Cutone & Company Consultants, LLC	Commercial Imp Assist, CIAP001 - Cutone; 200 Lex	6,600
	Commercial Real Estate Ten, LC Assoc-575 Lex Ave-CT	10,568
	Commercial Real Estate Ten, LC Associates-525 Bway-CommTen	8,945
	Commercial Real Estate Ten, LC Associates-1370 AoA-CT	10,068

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Cutone & Company Consultants, LLC	Commercial Real Estate Ten, LC Associates-1370 Bway-CT	10,568
	Commercial Real Estate Ten, LCA-JPMC#1-Multisite-CT	14,760
	Commercial Real Estate Ten, LCA-JPMC#2 Multisite-CT	19,946
	Commercial Real Estate Ten, LCA-JPMC#3 Multisite-CT	11,373
	Commercial Real Estate Ten, LCA-JPMC#4-Multisite-CT	14,030
	EXISTING FACILITIES, DMP Bonus - LCA	382,392
CVR Hotel LLC	NEW CONSTRUCTION PROGRAM, NCP10673 - Hilton Garden Inn	41,484
CyrusOne	Industrial Process Effic, Indutrial Process Efficiency	26,289
D. F. Brandt, Inc.	Industrial Process Effic, Industrial Process Efficiency	66,626
D.L. English Consulting, Inc.	OTHER PROGRAM AREA, Indian Point Consultant	50,886
D'Youville College	REV Campus Challenge, RM14 - D'Youville College	29,213
Darling Advertising Agency Inc.	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	109,201
	Off-Shore Wind Master Plan, Marketing Support for NYSERDA	42,487
DCG Development Co.	NEW CONSTRUCTION PROGRAM, NCP12367 - Home2 Suites-OFLT	42,023
DealCloud Inc.	NEW YORK GREEN BANK, DealCloud Licensing	61,120
DEMCO New York Corp.	<200KW PV, NY Sun	23,144
Department of Veterans Affairs	NEW CONSTRUCTION PROGRAM, NCP11939 - Castle Point Urgent	5,415
DePaul Properties, Inc.	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	150,000
Dewberry Engineers Inc	ENVIRONMENTAL RESEARCH, Transportation Climate ADP	19,901
DMV EQUITY, INC.	<200KW PV, NY Sun	5,832
DNV GL Energy Services USA Inc.	ENVIRONMENTAL RESEARCH, Building-Resiliency Assessment	-15,177
Doherty Electric, LLC	<200KW PV, NY Sun	27,363
	<200KW PV, NY-Sun	6,904
Dowd-Witbeck Printing Corp.	Home Perf w Energy Star, Printing Services	0
Downstream Construction, LLC	<200KW PV, NY-Sun	8,764
Downtown Ithaca Alliance	CLEAN TRANSPORTATION, Ithaca TDM/TMA Demonstration	50,149
Dual Fuel Corp	Combined Heat and Power, CHPA - 1791 Walton Avenue	7,800
	Real Time Enrgy Management, Dual Fuel Corp-237 W 100-RTEM	3,750
Eagle Creek Hydro Power LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	70,375
Earth Sensitive Solutions, LLC	Geothermal Incentive Program, Large-Scale GSHP Rebate	315,610
East Hills Autofix LLC	FUEL NY, PGI00011 - East Hills Autofix	84,597
Eastern Research Group, Inc.	ENVIRONMENTAL RESEARCH, Environmental Outreach	131,420
	Environmental Research, RFP3622 Env Res & Monitoring	37,297
Ecoelectro Inc	OTHER PROGRAM AREA, PON3249 ACE-Exploratory resear	90,000
Ecology and Environment Engineering, PC	CLEANER GREENER COMMUNITIES, CGC Implementation Contractor	236,327
	Off-Shore Wind Pre-Dev Act, Offshore Wind Energy Developme	235,406
EcoMarkets LLC	FUEL CELLS, RPS Customer Sited Tier Fuel C	362,695
	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	27,900
EcoMen Solar, LLC	<200KW PV, NY Sun	21,788
Ecovis, Inc.	<200KW PV, NY Sun	49,113
	<200KW PV, NY-Sun	5,288
Educational & Cultural Trust Fund	NEW CONSTRUCTION PROGRAM, NCP10015 - Electrical Industry	101,428
Eiger 3970 Consultants Inc.	<200KW PV, NY Sun	38,958
El Mira Colony Park LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	13,975
Eldor Contracting Corporation	<200KW PV, NY-Sun	25,898
Electric Power Research Institute	ENVIRONMENTAL RESEARCH, Climate & future electric syst	86,609
	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	64,990
	High Performing Grid, PON 3397 Round 2 - Category A	2,000

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Contractor	Contract Description	Total Expended Amount
Electric Power Research Institute	High Performing Grid, PON 3397 Round 2 - Category D	2,000
Electrical Distribution Design, Inc.	DER Integration(Intrcnct), PON 3404 DER Integration	31,850
EMCOR Services Betlem	Flexible Tech Assistance, FlexTech Consultant Selection	13,029
	On-Site Energy Manager, FlexTech Consultant Selection	65,518
EME Consulting Engineering Group, LLC	Commercial New Construc, EME - EMP	16,853
	Commercial Real Estate Ten, FlexTech Consultant Selection	18,107
	EXISTING FACILITIES, Tech Review and Program Staff	1,780
	Flexible Tech Assistance, FlexTech Consultant Selection	9,391
	Flexible Tech Assistance, Tech Review and Program Staff	-30,254
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	127,785
	FLEXIBLE TECHNICAL ASSISTANCE, Tech Review and Program Staff	88,597
	Industrial Process Effic, Tech Review and Program Staff	10,400
	MARKET PATHWAYS, FlexTech Consultant Selection	32,259
	NEW CONSTRUCTION PROGRAM, Tech Review and Program Staff	20,822
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	6,592
	NY-SUN, Staff Augmentation Services	71,819
	NYSERDA ADMINISTRATION, Staff Augmentation Services	71,819
	NYSERDA ADMINISTRATION, Tech Review and Program Staff	144,644
Emmanuel Properties Inc	NEW YORK ENERGY STAR HOMES, New Construction	123,000
Empire Solar Solutions LLC	<200KW PV, NY Sun	39,115
Empire State Realty OP, LP	EXISTING FACILITIES, EFP2350 - Empire State Realty	234,479
Empower CES, LLC	<200KW PV, NY Sun	27,129
Enercon Services Inc	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3305 Licence Consultat..	42,174
Energetics, Incorporated	CLEAN TRANSPORTATION, Battery LCA for Lev 3 EVSE	2,118
	CLEAN TRANSPORTATION, Oneida County ITS Study	95,031
	CLEAN TRANSPORTATION, Truck Platooning Workshops	2,314
	CLEANER GREENER COMMUNITIES, Animating the EV market in NYS	537,735
Energy & Resource Solutions, Inc.	ADVANCED BUILDINGS, Technical Review and Program S	12,350
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	36,110
	Combined Heat and Power, RFP 3643 Tech To Market	311,174
	Combined Heat and Power, Technical and Logistic Support	114,279
	Combined Heat and Power, Technical Review and Program S	124,185
	Commercial Imp Assist, Technical Review and Program S	6,245
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	58,640
	ENERGY ANALYSIS, Renewable Heating Cooling TA	105,255
	EVALUATION, Energy & Resource Sol. TWO	226,813
	EXISTING FACILITIES, Technical Review and Program S	63,675
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	8,588
	Industrial Process Effic, Energy & Resource Sol. TWO	43,202
	Industrial Process Effic, Industrial & Agriculture	87,182
	Industrial Process Effic, Technical Review and Program S	10,516
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	33,726
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	40,555
	On-Site Energy Manager, Industrial & Agriculture	11,858
	Rmve Barriers Dist Enrgy Storg, RFP 3407 Categories 2 & 3A	305,590
	Strategic Energy Manager, Industrial & Agriculture	11,124
Energy and Environmental Economics Inc.	CLEAN TRANSPORTATION, BCA of EV grid impacts	101
	ENERGY ANALYSIS, Renewable Heating Cooling TA	68,803

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Contractor	Contract Description	Total Expended Amount
Energy and Environmental Economics Inc.	ENERGY ANALYSIS, Tech Assist, REV Pool.	25,685
	Mkt Char: Tech Assist, Tech Assist, REV Pool.	773,692
	OTHER PROGRAM AREA, Renewable Heating Cooling TA	87
	OTHER PROGRAM AREA, Tech Assist, REV Pool.	93,148
Energy Conservation & Supply, Inc.	EXISTING FACILITIES, DMP Bonus - Energy Conservatio	54,973
Energy Futures Group, Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	55,094
Energy Improvement Corporation	CLEANER GREENER COMMUNITIES, CGC39896 - EIC	905,334
	Community RH&C, PON3723 RH&C Campaigns	5,000
	MARKET PATHWAYS, Behavioral Demonstrations Prog	38,452
Energy Power investment Company, L..	LARGE SCALE RENEWABLES, Large-Scale Renewables	352,974
EnergySavvy Inc	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Residential Pr..	3,075
	EMPOWER NY, Residential Program MgtRFP3545	3,075
	Home Perf w Energy Star, Residential Program MgtRFP3545	452,230
	HOME PERFORMANCE WITH ENERGY STAR, Residential Program Mgt..	3,075
Enermat Technologies, Inc.	Energy Storage Tech/Prod Dev, PON 3585 Energy Storage Cat A	21,200
Enertiv Inc.	Real Time Enrgy Management, Eric Mausukopf--255E.74th-RTEM	10,585
	Real Time Enrgy Management, Greg Maser--260 Spring--RTEM	3,150
	Real Time Enrgy Management, SL Green - 919 3rd Ave - RTEM	14,036
Ensave, Inc.	Agriculture Energy Eff Pgm, AEEP Implementation Contractor	240,521
	AGRICULTURE ENERGY EFFICIENCY, AEEP Implementation Contractor	31,664
EnterSolar LLC	<200KW PV, NY Sun	163,000
	<200KW PV, NY-Sun	62,500
	>200KW PV, NY Sun	194,128
EPP Team, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	76,832
EQR-Acquisitions, LP	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	171,500
Equinix Inc.	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	128,236
Erdman Anthony & Associates, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,755
	Commercial New Construc, EAA - EMP	3,930
	Flexible Tech Assistance, FlexTech Consultant Selection	5,645
	Industrial Process Effic, Technical Review and Program S	16,604
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	1,561
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	6,562
Erie Boulevard Hydropower LP	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	5,658
	LARGE SCALE RENEWABLES, School Street Hydro Project	117,505
	LARGE SCALE RENEWABLES, Stewarts Bridge Hydro Project	153,617
	REC:CES REC Contracts, 11th Main Tier Solicitation	16,576
Erie County	CLEANER GREENER COMMUNITIES, CGC40859 - Erie County	6,000
ERP Operating Limited Partnership	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	331,000
ESNY-303, LLC	NY-SUN, PV System @ Kinder Morgan Term	374,936
ESS Group, Inc.	Off-Shore Wind Pre-Dev Act, RFP 3462	5,152
Essense Partners Inc.	>200KW PV, Marketing Support for NYSERDA	0
	Cleantech ICC Engage, Marketing Support for NYSERDA	94,985
	Community RH&C, Marketing Support for NYSERDA	0
	Geothermal Incentive Program, Marketing Support for NYSERDA	0
	Home Perf w Energy Star, Marketing Support for NYSERDA	0
	NY-SUN, Marketing Support for NYSERDA	0
	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	0
	OTHER PROGRAM AREA, Marketing Support for NYSERDA	145,971

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Contractor	Contract Description	Total Expended Amount
Essense Partners Inc.	Renewable Heat NY, Marketing Support for NYSERDA	0
	REV Connect, Marketing Support for NYSERDA	-6,786
	Rmve Barriers Dist Enrgy Storg, Marketing Support for NYSERDA	49,700
EthosGen, LLC	NextGen HVAC, PON3519 Round 1	20,000
EV Connect Inc.	CLEANER GREENER COMMUNITIES, CGC55811 - EV Connect	118,268
Extraterrestrial Materials Inc.	<200KW PV, NY Sun	78,821
Faraday, Inc.	Air Source Heat Pumps, RFP3761 Customer Targeting Too	10,000
	Community RH&C, RFP3761 Customer Targeting Too	20,000
Federation of Italian Americans Org.	NEW CONSTRUCTION PROGRAM, NCP9004 - FIAO Community Cente	28,676
Finch Paper, LLC	Industrial Process Effic, Industrial Process Efficiency	141,785
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	37,573
Finger Lakes Extrusion	>200KW PV, NY Sun	60,649
Finger Lakes RC&D Inc.	ENVIRONMENTAL RESEARCH, Grass Combustion Emission Eval	1,176
First Columbia Property Services, LLC	NYSERDA ADMINISTRATION, Property Management	68,229
	NYSERDA ADMINISTRATION, Property Management Services	24,622
First Jamaica Community & Urban	Multifam New Construction, MFNCP PHIUS T3-Tree of Life	54,650
First North American Holdings II Inc.	EXISTING FACILITIES, EFPCHP - PON1219	239,597
First Ward Action Council, Inc.	Low Rise New Construction, New Construction	20,000
FirstFuel Software, Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, E..	114,108
FlexEnergy Energy Systems Inc	Combined Heat and Power, CHPA - Saratoga Hospital	382,594
Florenia Properties NV, Inc.	Flexible Tech Assistance, FlexTech Program - PON 1746	3,638
Florenton River LLC	<200KW PV, NY Sun	24,583
Flushing Commons LLC	NEW CONSTRUCTION PROGRAM, NCP11462 - Flushing Commons	216,036
Forbes-Capretto Homes	Low Rise New Construction, New Construction	13,650
Fordham University	EXISTING FACILITIES, DMP Bonus - Fordham University	40,300
Forest Avenue Service Station Inc	FUEL NY, PGI00195 - Forest Avenue Servi	58,903
Forest City Jay St. Assoc.	EXISTING FACILITIES, EFP/DMP2249 - Forest City Jay	50,173
Fort Schuyler Management Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	3,382
	NEW CONSTRUCTION PROGRAM, NCP12678 - Riverbend	25,000
Fourth Coast, Inc.	<200KW PV, NY Sun	22,820
Franklin Plaza Apartments, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	816,000
Freedom Solar Inc.	<200KW PV, NY Sun	24,694
Frontier Energy, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	26,000
	ANAEROBIC DIGESTER, RPS CST QA/QC Support	2,500
	COMBINED HEAT AND POWER, CHP System Inspection and ReCo	64,800
	COMBINED HEAT AND POWER, DG Integrated Data System	403,120
	COMBINED HEAT AND POWER, Technical Advisors to CHP	5,799
	COMBINED HEAT AND POWER, Technical Review_Prgm Support	30,673
	Community RH&C, Technical Review_Prgm Support	0
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	292
	EVALUATION, Technical Review_Prgm Support	110,947
	EXISTING FACILITIES, EFP Task Work Order	6,860
	EXISTING FACILITIES, Technical Review_Prgm Support	4,995
	Geothermal Incentive Program, Technical Review_Prgm Support	58,438
	Industrial Process Effic, Technical Review_Prgm Support	14,330
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review_Prgm Support	938
FS Energy, LLC	Workforce Industry Partnership, PON 3442 Workforce Training	73,956
Fulton South Development	NEW CONSTRUCTION PROGRAM, NCP11533 - Fulton South	26,602

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Contractor	Contract Description	Total Expended Amount
Fund for Public Health in New York, In..	ENVIRONMENTAL RESEARCH, Climate ADP--Health and Energy	37,477
G.W. Ehrhart, Inc.	Renewable Heat NY, Erhart/Flinn	21,000
	Renewable Heat NY, G.W Ehrhart/Grusenmeyer	21,000
	Renewable Heat NY, G.W Erhart/Stuart Staniford	15,000
Gallagher Bus Service Corp.	NY-SUN, Commercial/Industrial -	22,505
Garlock Sealing Technologies, LLC	Industrial Process Effic, Industrial Process Efficiency	7,231
Garner Environmental Services, Inc.	FUEL NY, Fuel NY Portable Emergency Gen	4,590
Gas Technology Institute	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	62,000
GB Lighting Corp	EXISTING FACILITIES, DMP Bonus - GB Lighting	74,034
GCOM Software LLC	NYSERDA ADMINISTRATION, Salesforce	1,203,888
	NYSERDA ADMINISTRATION, Salesforce Implementation	107,368
	NYSERDA ADMINISTRATION, Staff Augmentation	179,123
GCP 188th Realty Corp	FUEL NY, PGI00007 - GCP 188th Realty Co	104,660
Geatain Engineering PLLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	2,500
GenE Solar I LLC	>200KW PV, NY Sun C/I	297,633
	>200KW PV, NY-Sun C/I	892,900
	>200KW PV, NYSun C/I	297,633
General Electric Company	NEW CONSTRUCTION PROGRAM, NCP12770 - Building 33	16,692
General Electric International, Inc.	ENERGY ANALYSIS, RFQL3685 Round 1	15,000
General Motors of NY Inc.	>200KW PV, Assignee/Vendor # 37085	56,312
General Motors, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial and Process Efficie	160,813
Genesee Region Clean Communities, ..	CLEAN TRANSPORTATION, GRCC will seek proposals for A	251,325
George E Denmark II	<200KW PV, NY Sun	21,226
George J. Martin & Son	<200KW PV, NY Sun	3,689
Geotherm Inc.	<200KW PV, NY Sun	26,142
Glenwood Management Corp	ADVANCED BUILDINGS, EFP2308 - Glenwood Management	180,000
	EXISTING FACILITIES, EFP2308 - Glenwood Management	468,900
Global Common, LLC	SMART GRID SYSTEMS, RFP 3044 R2	155,000
Global Montello Group Corp.	FUEL NY, PGI00193 - Global Montello Gro	89,038
	FUEL NY, PGI00208 - Global Montello Gro	103,828
Global Thermostat Operations LLC	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	50,000
Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, Goldman Cope-Multisite-CT	9,982
	Commercial Real Estate Ten, Goldman Copela-1 Penn Plaza-CT	10,997
	Commercial Real Estate Ten, Goldman Copelan-640 5th Ave-CT	10,997
	Commercial Real Estate Ten, Goldman Copelan-689 5th Ave-CT	10,997
	Commercial Real Estate Ten, Goldman Copeland-40 Fulton-CT	10,997
	Commercial Real Estate Ten, Goldman Copeland-100 AoA-CT	10,969
	Commercial Real Estate Ten, Goldman Copeland-155 AoA-CT	10,969
	Commercial Real Estate Ten, Goldman Copeland-350 Park A-CT	10,997
	Commercial Real Estate Ten, Goldman-750 7th Ave-CommTen	10,997
	Commercial Real Estate Ten, GoldmanCopel- 435 Hudson St-CT	10,969
	Flexible Tech Assistance, FlexTech Consultant Selection	34,960
Gotham 360 LLC	Remote Energy Management, RFP 3683 REM Program	206,250
GRE Fund II Holdco LLC	NY-SUN, NY-Sun	233,656
Greater Hudson Bank	NY-SUN, Manhattan Beer Suffern1	41,334
Green Hybrid Energy Solutions Inc.	<200KW PV, NY Sun	5,360
Green Volt Solutions LLC	<200KW PV, NY-Sun	28,453
Greenpac Mill, LLC	Flexible Tech Assistance, FlexTech Program - PON 1746	17,592

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Contractor	Contract Description	Total Expended Amount
Greenskies Renewable Energy LLC	>200KW PV, NY Sun	22,605
Grenadier Realty Corp.	COMBINED HEAT AND POWER, On-Site Power	4,613
Grid City Electric Corp	<200KW PV, NY Sun	14,940
GridPoint, Inc	Real Time Enrgy Management, City of Albany-Multisite-RTEM	99,646
Group-S LLC	EXISTING FACILITIES, Existing Facilities Program -	151,324
	Flexible Tech Assistance, FlexTech Consultant Selection	44,673
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	33,650
Guardian Industries Corporation	Industrial Process Effic, Industrial Process Efficiency	309,106
H.E.L.P Development Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	23,500
Habitat for Humanity (Capital District)	Low Rise New Construction, New Construction	10,800
Hackley School	NEW CONSTRUCTION PROGRAM, NCP14060 - HealthWellness-OFLT	137,216
Halcyon, Inc.	<200KW PV, NY-Sun	7,350
HANAC, Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	34,000
Harris Beach PLLC	GJGNY REVOLVING LOAN FUND, RFP 3300 Outside Counsel Servi	4,666
	NYSERDA ADMINISTRATION, RFP 3300 Outside Counsel Servi	13,617
	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Outside Couns..	2,380
	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Counsel ..	6,100
Harris Wiltshire & Grannis LLP	ENERGY ANALYSIS, RFP3776 Outside Counsel Servic	4,050
	OTHER PROGRAM AREA, RFP3776 Outside Counsel Servic	5,695
Harvest Power, LLC	<200KW PV, NY Sun	117,805
	<200KW PV, NY-Sun	7,164
Health Research, Inc.	ENVIRONMENTAL RESEARCH, Heat Vulnerability to Climate	250
	RENEWABLE HEAT NY, Ultrafine Particle Emissions	21,961
Helix Power Corporation	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced Clean..	117,711
HESP Solar, LLC	<200KW PV, NY Sun	35,909
	>200KW PV, NY-Sun C&I	131,292
HEVO Inc.	CLEAN TRANSPORTATION, PON 3198 HEVO	95,000
HFC Hudson Fisonic Corp	ADVANCED BUILDINGS, Development of Fisonic Device	56,950
High Peaks Solar	<200KW PV, NY Sun	5,880
	<200KW PV, NY-Sun	5,836
High Tech Rochester Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-Concep..	483,500
	M-Corps, ACT Prototypes to Mass Prod NY	105,000
	OTHER PROGRAM AREA, NYSERDA Entrepreneurs-in-Resid	194,300
Highbridge Community Development ..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	36,000
Hodgson Russ LLP	>200KW PV, RFP 3300 & RFP 3776 Outside Co	16,857
Holland & Knight LLP	LMI Community Solar, RFP 3300 & RFP 3776 Outside Co	16,725
	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	309,500
	SMART GRID SYSTEMS, RFP 3300 & RFP 3776 Outside Co	24,253
	ZEC:CES ZEC Pgm Non-Rec Exp, RFP 3300 & RFP 3776 Outside Co	4,931
Home HeadQuarters, Inc.	CLEANER GREENER COMMUNITIES, CGC38740 - Home Headquarters	10,750
Honeywell International Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RFQL 3434 C..	131
	EMPOWER NY, RFQL 3434 Cat1 Res SF	52
	Home Perf w Energy Star, RFQL 3434 Cat1 Res SF	111,346
	HOME PERFORMANCE WITH ENERGY STAR, RFQL 3434 Cat1 Res SF	115
	RENEWABLE HEAT NY, RHHY Pellet Stove QA Services	2,488
	RFQL 3434 Cat1 Res SF	12,078
Howard Wind LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	88,541
	LARGE SCALE RENEWABLES, Howard Wind Farm	759,150

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Contractor	Contract Description	Total Expended Amount
Howard Wind LLC	LARGE SCALE RENEWABLES, Howard Wind Farm - Expansion	105,650
Hudson River Trading	Industrial Process Effic, Industrial Process Efficiency	84,005
Hudson Solar	<200KW PV, NY Sun	58,298
	<200KW PV, NY-Sun	10,294
	NY-SUN, PV System at Watchtower Bible	15,296
Hudson Valley Wind Energy, LLC	<200KW PV, NY Sun	63,764
Hunter Mountain Ski Bowl Inc.	Industrial Process Effic, Industrial Process Efficiency	20,787
Hydronic Specialty Supply	RENEWABLE HEAT NY, Smart Thermal Storage System	40,000
Hyland Facility Associates	LARGE SCALE RENEWABLES, RFP 2226-RPS Purchase of RE At	144,024
i3 Electronics, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,466
IBM - East Fishkill Site	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	70,000
ICAST	Retrofit NY, Multifamily	37,500
ICF Jones & Stokes	ENVIRONMENTAL RESEARCH, NYS Energy Research and Develo	20,371
ICF Resources, LLC	ADVANCED ENERGY CODES, ECode Microsite	31,333
	Commercial Imp Assist, Technical Review and Program S	1,956
	ENERGY ANALYSIS, Flex Energy Tech Analysis 2	95,544
	ENERGY ANALYSIS, Tech Assist, REV Pool	127,525
	EXISTING FACILITIES, Technical Review and Program S	6,120
	NY-SUN, Affordable Solar Saratoga Spri	23,250
	Off-Shore Wind Pre-Dev Act, Flex Energy Tech Analysis 2	4,112
iCone Products, LLC	CLEAN TRANSPORTATION, Connecting WNY Work Zones	75,250
IGS Ventures, Inc.	NY-SUN, PV@ Church of the Gateway	31,164
Incorporated Village of Laurel Hollow	CLEANER GREENER COMMUNITIES, Laurel Hollow	8,340
Incorporated Village of Oyster Bay Co..	CLEANER GREENER COMMUNITIES, Oyster Bay Cove	11,250
Incorporated Village of Roslyn Harbor	CLEANER GREENER COMMUNITIES, Roslyn Harbor	12,500
Incorporated Village of Upper Brookvi..	CLEANER GREENER COMMUNITIES, Upper Brookville	25,000
Indian River Central School District	NEW CONSTRUCTION PROGRAM, NCP12603 - Indian River CSD Im	47,715
Industrial Economics, Incorporated	Large Scale Renewables, Industrial Economics TWO	72,353
	Mkt Char: Tech Assist, Tech Assist, REV Pool	101,153
	SMART GRID SYSTEMS, Flex Energy Tech Analysis 2	20,817
INF Associates LLC	Commercial Real Estate Ten, INF Associates-655 Third Av-CT	5,503
	Commercial Real Estate Ten, INF Associates-1133 6th Ave-CT	36,458
Infinity Solar Systems, LLC	<200KW PV, NY Sun	5,171
Infosys International Inc	NYSERDA ADMINISTRATION, RFP3365 Private Cloud Hosting	161,118
Innovative Energy Systems, LLC	LARGE SCALE RENEWABLES, DANC LFGE	251,342
Institute for Building Technology and Sa	<200KW PV, RFQL 3434 IBTS Standards & QA	36,841
	ADVANCED ENERGY CODES, Energy Code Training: EPros	63,299
	Air Source Heat Pumps, RFQL 3434 IBTS Standards & QA	71,518
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RFQL 3434 IB..	504
	COMMUNITY SOLAR, RFQL 3434 IBTS Standards & QA	9,228
	EMPOWER NY, RFQL 3434 IBTS Standards & QA	93,790
	Home Perf w Energy Star, RFQL 3434 IBTS Standards & QA	297,718
	HOME PERFORMANCE WITH ENERGY STAR, RFQL 3434 IBTS Standar..	454
	NY-SUN, RFQL 3434 IBTS Standards & QA	281,550
	RFQL 3434 IBTS Standards & QA	56,733
IntelliGen Power Systems, LLC	COMBINED HEAT AND POWER, CHPA - 4C Foods	290,400
	COMBINED HEAT AND POWER, CHPA - Bay Park 1	178,464
	COMBINED HEAT AND POWER, CHPA - Bay Park 2	178,464

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Contractor	Contract Description	Total Expended Amount
International Electronic Machines Corp.,	CLEAN TRANSPORTATION, Noncontact Elect. Wheel Gauge	23,449
	CLEAN TRANSPORTATION, WISE Wheel Profile Demo	5,930
IRE Solar 1, LLC	NY-SUN, PV System @ City of Utica 2	75,734
Iskalo 5000 Main LLC	NEW CONSTRUCTION PROGRAM, NCP11492 - 5000 Main Street	32,701
Island Hollow L.P.	Low Rise New Construction, New Construction	85,400
Islip Resource Recovery Agency	CLEANER GREENER COMMUNITIES, CGC31134 - IRRA	350,000
Ithaca College	EXISTING FACILITIES, EFP2470 - Ithaca College	77,261
Ithaca Neighborhood Housing Services, In	CLEANER GREENER COMMUNITIES, CGC52863 - Ithaca NHS	12,000
	Low Rise New Construction, Low/Moderate Income	48,000
	Low Rise New Construction, New Construction	57,000
	NEW YORK ENERGY STAR HOMES, New Construction	30,000
J. Feil and M. Bernstein Et Al	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	62,250
Jasper Van den Munckhof	Retrofit NY, Multifamily	28,172
Jefferson Solar, LLC	>200KW PV, NY-Sun C&I	220,626
Jeffrey L Kinzler	CLEAN TRANSPORTATION, Urban Intermodal Freight Sys	0
Jewish Home Lifecare	NEW CONSTRUCTION PROGRAM, NCP11715 - Sarah Neuman Pavili	18,370
Jewish Home of Rochester	NEW CONSTRUCTION PROGRAM, NCP12720 - The Green Houses	2,549
John Siegenthaler	WORKFORCE DEVELOPMENT, RFP 3165 Hydronic System Desig	40,071
Johnson Controls Inc.	Flexible Tech Assistance, FlexTech Consultant Selection	139,675
Joule Assets Inc	CLEANER GREENER COMMUNITIES, CGC57954 - Joule Assets	66,000
JP Morgan Chase	EXISTING FACILITIES, DMP Bonus - JP Morgan Chase	318,236
JPMartin Energy Strategy LLC	OTHER PROGRAM AREA, PON 3249 ACE--Lithium research	24,431
Kaleida Health	EXISTING FACILITIES, EFP2540 - Kaleida Health	21,951
	NEW CONSTRUCTION PROGRAM, NCP11344 - Women & Children's	154,189
	NEW CONSTRUCTION PROGRAM, NCP13061 - Flint Lab Renovatio	23,868
Kamtech Restoration Corp	<200KW PV, NY Sun	18,105
Kapsch TrafficCom Transportation NA..	CLEAN TRANSPORTATION, Corporate Name Change	57,199
Karpman Consulting, LLC	ADVANCED ENERGY CODES, Ecode Performance Enforcement	10,262
	Code to Zero, Karpman Csltg RFP3036 Services	18,000
Kasselman Solar LLC	<200KW PV, NY Sun	103,600
	<200KW PV, NY-Sun	12,866
Kelleher Samets Volk	Air Source Heat Pumps, Marketing Support for NYSERDA	58,079
	Commercial Imp Assist, Marketing Support for NYSERDA	350
	Commercial Real Estate Ten, Marketing Support for NYSERDA	32,824
	Community RH&C, Marketing Support for NYSERDA	74,885
	Flexible Tech Assistance, Marketing Support for NYSERDA	36,498
	Geothermal Incentive Program, Marketing Support for NYSERDA	40,339
	Home Perf w Energy Star, Marketing Support for NYSERDA	103,185
	Industrial Process Effic, Marketing Support for NYSERDA	9,265
	LMI Community Solar, Marketing Support for NYSERDA	127,232
	Multifam Performance Pgm, Marketing Support for NYSERDA	234,103
	New Construction- Commercial, Marketing Support for NYSERDA	6,630
	New Construction- Housing, Marketing Support for NYSERDA	20,315
	NY-SUN, Marketing Support for NYSERDA	21,665
	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	49,638
	On-Site Energy Manager, Marketing Support for NYSERDA	852
	Real Time Enrgy Management, Marketing Support for NYSERDA	64,156
	Renewable Heat NY, Marketing Support for NYSERDA	24,676

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Contractor	Contract Description	Total Expended Amount
Kelleher Samets Volk	Residential-Engaging New Mkts, Marketing Support for NYSERDA	58,977
	Retrofit NY, Marketing Support for NYSERDA	26,903
	REV Campus Challenge, Marketing Support for NYSERDA	9,671
	REVitalize, Marketing Support for NYSERDA	18,105
	Strategic Energy Manager, Marketing Support for NYSERDA	66,478
	Technical Services, Marketing Support for NYSERDA	1,853
	Workforce Industry Partnership, Marketing Support for NYSERDA	47,625
KEMA Incorporated	EVALUATION, RFQ 3183 KEMA, Inc	160,774
	Flexible Tech Assistance, RFQ 3183 KEMA, Inc	4,920
	NEW YORK GREEN BANK, RFQ 3183 KEMA, Inc	27,824
Kema Services, Inc.	ADVANCED BUILDINGS, Evaluation Oversight Services	3,625
Kiit Renewable Energy LLC	>200KW PV, Commercial/Industrial PV	76,633
Kilowatt Engineering, Inc.	Commercial Real Estate Ten, FlexTech Consultant Selection	17,746
	EXISTING FACILITIES, Technical Review and Program S	10,698
	Industrial Process Effic, Technical Review and Program S	15,748
King & King Architects, LLP	Retrofit NY, Multifamily	37,500
Kingston, City of	Clean Energy Communities, City of Kingston	25,000
KLD Engineering, P.C.	CLEAN TRANSPORTATION, Connected Eco-Driving Tech	31,076
	CLEAN TRANSPORTATION, Transportation Resiliency	21,979
KMJ Holdings LLC	NEW CONSTRUCTION PROGRAM, NCP11944 - 40 Farrington Road	20,330
KPMG LLP	NEW YORK GREEN BANK, Audit Services	25,500
	NYSERDA ADMINISTRATION, Audit Services	76,500
L&S Energy Services, Inc.	>200KW PV, Technical Review and Program S	13,487
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	70,000
	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	2,500
	CLEANER GREENER COMMUNITIES, FlexTech Consultant Selection	4,505
	COMBINED HEAT AND POWER, Technical Review and Program S	16,800
	Commercial Real Estate Ten, FlexTech Consultant Selection	13,635
	Flexible Tech Assistance, FlexTech Consultant Selection	752
	Flexible Tech Assistance, Technical Review and Program S	53,763
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	89,090
	Geothermal Incentive Program, Technical Review and Program S	67,143
	Industrial Process Effic, Technical Review and Program S	34,234
	INDUSTRIAL PROCESS EFFICIENCY, .	29,239
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	21,813
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	15,592
	On-Site Energy Manager, Technical Review and Program S	4,250
	Renewable Heat NY, Technical Review and Program S	2,603
	REV Campus Challenge, Technical Review and Program S	5,389
	Technical Services, FlexTech Consultant Selection	5,000
LaBella Associates, P.C.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,707
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	53,042
	GJGNY REVOLVING LOAN FUND, Technical Review and Program S	3,318
	Industrial Process Effic, Technical Review and Program S	171
	NEW CONSTRUCTION PROGRAM, New Construction	9,141
Lago Resort Casino LLC	NEW CONSTRUCTION PROGRAM, NCP12762 - Lago Casino-OFLT	257,700
Lamb Farms Inc.	ANAEROBIC DIGESTER, Lamb Farms Inc. Scrubber	6,006
Lantern Organization Inc.	Multifam New Construction, New Construction	15,950

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Launch New York, Inc.	Cleantech ICC Engage, Launch NY ECO Incubator	161,500
Lawview Farm	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	4,080
LC DRives	OTHER PROGRAM AREA, PON 3249 ACE	25,000
LED Specialists Inc	ADVANCED BUILDINGS, Advanced Buildings Technology	24,236
Leon Petroleum	FUEL NY, PGI00274 - Leon Petroleum	114,150
Levitan & Associates, Inc.	OREC: Technical Support, Offshore Wind Energy Developme	383,914
Lewis Custom Homes, Inc.	Low Rise New Construction, New Construction	9,900
Liberty Affordable Housing, Inc.	Low Rise New Construction, New Construction	38,000
LiDestri Foods, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industry Process Efficiency	19,023
Loeb & Loeb LLP	Green Bank Outside Legal Couns	4,779
	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	229,611
Long Island High Technology Incubat..	Cleantech Incubator, PON3413 Clean Energy Incubator	418,462
Long Island Power Authority	NY-SUN, LIPA MOU RGGI Compliance Progr	17,300,000
Long Island Power Solutions	<200KW PV, NY Sun	6,656
Long Pond Garden Apartments LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	16,500
Lono LLC	Geothermal Incentive Program, Large-Scale GSHP Rebate	18,000
Lotus Energy, Inc.	<200KW PV, NY Sun	80,770
Lotus Management Group NY Inc.	FUEL NY, GSP00690-006 - Lotus Managemen	10,000
	FUEL NY, GSP00690-010 - Lotus Managemen	10,000
LPC Managers LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	24,750
Luthin Associates, Inc.	REV Campus Challenge, Commercial	76,237
M.J. Bradley & Associates	CLEAN TRANSPORTATION, BCA of EV grid impacts	6,918
M/E Engineering, P.C.	Commercial New Construc, M/E - EMP	13,025
	Flexible Tech Assistance, FlexTech Consultant Selection	81,699
	Industrial Process Effic, Technical Review and Program S	35,211
Macquesten Development, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	48,600
Macy's Inc.	EXISTING FACILITIES, EFP1750 - Macy's	488,958
Malcolm Pirnie, Inc.	COMBINED HEAT AND POWER, EFP Task Work Orders	5,784
	INDUSTRIAL PROCESS EFFICIENCY, EFP Task Work Orders	423
Malta Development Company Inc	Low Rise New Construction, New Construction	2,850
	NEW YORK ENERGY STAR HOMES, New Construction	6,000
Maple West 25th Owner LLC	NEW CONSTRUCTION PROGRAM, NCP11975 - 119 West 25th Stree	37,735
Marble River Wind Farm LLC	LARGE SCALE RENEWABLES, Marble River Wind Farm	3,770,015
Maria Isabel HDFC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	99,000
Marsh Hill Energy, LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	744,395
Marshall & Sterling, Inc.	NYSERDA ADMINISTRATION, Property Liability and Other	191,522
Max Solar Inc	<200KW PV, NY Sun	8,750
	<200KW PV, NY-Sun	6,858
MCA SERVICE CORP	FUEL NY, PGI00205 - MCA Service Corp.	38,190
McMahon and Mann Consulting Engin..	WEST VALLEY DEVELOPMENT PROGRAM, Engineering Services WV	141,451
Mechanical Energy Solutions LLC	Combined Heat and Power, CHPA - 1540 Broadway	522,048
Mecklenburg Solar LLC	>200KW PV, NY-Sun C/I	126,271
Mehta Real Estate LLC	NEW CONSTRUCTION PROGRAM, NCP10549 - 77 E 110th	18,104
Meister Consultants Group, Inc.	COMMUNITY SOLAR, NY-SUN PVBOS Training and Educ	1,171
	ENERGY ANALYSIS, Renewable Heating Cooling TA	33,881
	NY-SUN, NY-SUN PVBOS Training and Educ	0
	OTHER PROGRAM AREA, Renewable Heating Cooling TA	46,046
	Real Time Enrgy Management, Commercial	41,582

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Meister Consultants Group, Inc.	REV Campus Challenge, REV CC - Meister CG	78,334
	WORKFORCE DEVELOPMENT, NY-SUN PVBOS Training and Educ	94,181
Melrose Apartments, L.P.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	69,300
Memorial Hospital for Cancer & Allied ..	NEW CONSTRUCTION PROGRAM, NCP11556 - 327 E 64th Street C	217,503
Memorial Sloan Kettering Cancer Cent..	Workforce Industry Partnership, PON 3442 Workforce Training	108,000
Mental Health Association of	Low Rise New Construction, New Construction	60,600
MEP Geothermal Engineering, PLLC	Geothermal Incentive Program, GSHP Incentive	142,200
Mercury Solar Systems, Inc.	NY-SUN, RPS CST Regional Program	27,187
Merrick Bellmore Service Center Inc.	FUEL NY, GSP00777 - Merrick Bellmore S	24,559
Mesa Bioenergy Supply, LLC	CLEANER GREENER COMMUNITIES, CGC32404 Reassignment to MESA	253,485
Metropool, Inc.	CLEAN TRANSPORTATION, Tri-Cities Mobility Challenge	6,929
MH One Enterprise Inc	FUEL NY, PGI00004 - MH One Enterprise	113,523
Micatu, Inc.	High Performing Grid, PON 3397 CAT D	600,000
	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	150,000
Michaels Energy, Inc.	Industrial Process Effic, RFQ 3183 Michaels Energy	40,995
mindSHIFT Technologies, Inc.	NYSERDA ADMINISTRATION, Website Development	101,063
MJW Technical Services, Inc.	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection Support	64,138
Mobile Fleet Inc	CLEAN TRANSPORTATION, Battery-based Anti-Idling Sys.	-21,364
Mohawk Innovative Technology, Inc.	OTHER PROGRAM AREA, PON 3249 ACE	105,000
Mohawk Valley Economic Developme..	Community Energy Engagement, CEEP Mohawk Valley Region (MVE	88,788
Molecular Glasses, Inc.	OTHER PROGRAM AREA, Technology to Market	100,000
Molloy College	CLEANER GREENER COMMUNITIES, CGC42044 - Molloy College	242,469
Monolith Solar Associates, LLC	<200KW PV, NY Sun	862,375
	<200KW PV, NY-Sun	193,171
	<200KW PV, RES-NewConst(no longer in use)	650,333
Monroe County	EXISTING FACILITIES, EFP2627 - County of Monroe	159,486
Morgan Stanley Services Holding, LLC	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	47,300
Morton Salt Inc	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	51,473
Mount Sinai Medical Center	EXISTING FACILITIES, DMP Bonus - Mt Sinai	180,000
	Technical Services, OsEM - Mount Sinai Hospital	16,667
MS Financing, Inc.	FUEL CELLS, Morgan Stanley	500,000
National Economic Research	Mkt Char: Tech Assist, Tech Assist, REV Pool	41,587
National Grid	SMART GRID SYSTEMS, EPTD Smart Grid Program	150,000
National Oilheat Research Alliance	ADVANCED BUILDINGS, Advanced Buildings Technology	18,150
	ADVANCED BUILDINGS, Tankless Coil Boilers	15,574
Navigant Consulting Inc.	Advancing Ag Enrgy Technologie, Navigant Consulting TWO	43,672
	Energy Storage Tech/Prod Dev, Navigant Consulting TWO	15,442
	Greenhouse Light & Systems Eng, Navigant Consulting TWO	43,672
	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	31,900
	REV Connect, REV Connect	595,104
	Rmve Barriers Dist Enrgy Storg, Navigant Consulting TWO	14,884
	Technical Services, Navigant Consulting TWO	43,672
Nehemiah Housing Development Fun..	NEW YORK ENERGY STAR HOMES, New Construction	317,500
NESCAUM	ENVIRONMENTAL RESEARCH, RFQL3685 Round 1	90,480
	ENVIRONMENTAL RESEARCH, Tech Assist, REV Pool	136,583
	RENEWABLE HEAT NY, Mobile Woodsmoke PM Monitoring	16,330
	RENEWABLE HEAT NY, Next Gen Test Methods Research	36,163
	Renewable Heat NY, RFQL3685 Round 1	24,105

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Contractor	Contract Description	Total Expended Amount
NESCAUM	RENEWABLE HEAT NY, Tech Assist, REV Pool	69,067
	RENEWABLE HEAT NY, Wood Pellet Standard	28,416
New Buildings Institute, Inc.	ADVANCED ENERGY CODES, NYStretch	47,753
	Code to Zero, Codes	17,745
	New Construction- Commercial, New Construction	9,035
	New Construction- Housing, New Construction	7,818
New Energy Equity LLC	>200KW PV, commerical industrial PV	110,100
	Commercial/Industrial	140,916
	NY-SUN, Commercial/Industrial -	201,186
New England Waste Services of NY Inc.	LARGE SCALE RENEWABLES, Clinton Co. Landfill	69,922
New York Academy of Sciences	EVALUATION, Innovation and Business Develo	19,663
	OTHER PROGRAM AREA, Innovation and Business Develo	32,509
New York Battery and Energy Storage	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 3B	130,362
New York City DOT	CLEANER GREENER COMMUNITIES, CGC29967 - NYCDOT - Category 3	90,122
New York City Housing Authority	CLEANER GREENER COMMUNITIES, CGC56950 - NYC DEP	5,000
New York Power Authority	SMART GRID SYSTEMS, EPTD Smart Grid	285,000
New York Presbyterian Hospital	EXISTING FACILITIES, Existing Facilities Program -	155,756
	NEW CONSTRUCTION PROGRAM, NCP12440 - NYP CHONY Bundle	52,396
New York Restoration Project	GREENING THE BRONX, Greening The Bronx	131,592
New York Solar Solutions LLC	<200KW PV, NY Sun	13,944
New York State Catholic Healthplan, I..	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	62,792
New York State Marine	CLEAN TRANSPORTATION, NYS Canal Marine Freight	1,897
New York State Police	NEW CONSTRUCTION PROGRAM, NCP12386 - NYS Police Unadilla	5,469
New York State Solar Farm Inc.	<200KW PV, NY Sun	10,820
New York University	Cleantech Incubator, PON3413 Clean Energy Incubator	475,000
	NEW CONSTRUCTION PROGRAM, NCP11361 - NYU 55 East 10th St	34,781
New York University Langone Medical..	EXISTING FACILITIES, EFP2408 - New York University	94,862
Newport Ventures, Inc.	ADVANCED ENERGY CODES, Energy Code Training	286,000
Nexant, Inc.	MARKET PATHWAYS, Behavioral Demonstrations Prog	10,332
Nexant, Incorporated	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	1,758
	EXISTING FACILITIES, .	1,196
	EXISTING FACILITIES, Technical Review and Program S	6,415
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	13,315
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	417
Next Generation Solar, LLC	<200KW PV, NY Sun	8,698
Niagara Frontier Transportation Autho..	CLEAN TRANSPORTATION, Integrated Corridor Management	57,680
NIC Holding Corp	FUEL NY, NYS Strategic Gasoline Reserve	250,856
Nickels Energy Solutions LLC	<200KW PV, NY Sun	5,670
Nixon Peabody LLP	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	168,095
NJP Consulting Inc.	<200KW PV, NY Sun	5,120
	<200KW PV, NY-Sun	6,880
Noble Wethersfield Windpark, LLC	LARGE SCALE RENEWABLES, Smart Grid Syst & Dist Eng Int	1,520,196
Noblehurst Farms, Inc.	ANAEROBIC DIGESTER, RPS CST ADG-to-Electricity Dai	72,270
Nor Spring Service Station Inc.	FUEL NY, PGI00291 - Nor Spring Service	93,275
Nor-Cross Service Station Inc	FUEL NY, PGI00207 - Nor-Cross Service	82,820
Noresco LLC	Commercial Real Estate Ten, NORESKO-55 Water St-CRE Tenant	4,571
	Flexible Tech Assistance, FlexTech Consultant Selection	38,724
Normandeau Associates, Inc.	ENVIRONMENTAL RESEARCH, Digital Aerial Baseline Survey	511,464

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Contractor	Contract Description	Total Expended Amount
North Harbor Energy, LLC	ANAEROBIC DIGESTER, North Harbor Dairy Digester	140,657
North Star Energy Inc	FUEL NY, PGI00117 - North Star Energy	89,712
Northeast Agriculture Technology Corp	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	6,353
Northeast States for Coordinated Air ..	Environmental Research, NY climate clearinghouse	52,448
Northeast Wind Partners II LLC	LARGE SCALE RENEWABLES, Smart Grid Syst & Dist Eng Int	91,394
	LARGE SCALE RENEWABLES, Steel Winds II	167,780
Northern Plains Power Technologies	DER Integration(Intrcnct), PON 3404 DER Integration	55,000
Northwell Health, Inc.	NEW CONSTRUCTION PROGRAM, NCP10696 - Lenox Hill Center f	181,258
NP Environmental LLC	Geothermal Incentive Program, Large-Scale GSHP Rebate	49,990
NY RNM Project1, LLC	>200KW PV, NY-Sun C&I (Assignment)	495,483
	NY-Sun	495,483
	NY-SUN C&I	495,483
NY RNM Project2, LLC	>200KW PV, NY Sun C&I	13,813
	>200KW PV, NY-SUN C&I	564,956
NY RNM Project3, LLC	>200KW PV, NY-Sun C/I	15,325
NY RNM Project4, LLC	>200KW PV, NY-SUN C&I	400,481
NYC Climate Action Alliance Inc.	Commercial Real Estate Ten, NYC Climate Alliance - CT	22,375
NYC Partnership Housing Dev. Fund ..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	25,000
NYCHA III Parent Housing Developme..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	41,600
NYS Department of Transportation	NEW CONSTRUCTION PROGRAM, NCP11456-RochesterIntermodal	20,715
NYS Office of Children & Family Servi..	EXISTING FACILITIES, EFP2445 - NYS OCFS	41,508
NYS Office of Mental Health	EXISTING FACILITIES, EFP2296 - NYS Office of Mental	196,121
NYS Office of Parks, Recreation and	<200KW PV, NY Sun	99,895
NYS School Facilities Association, Inc.	Workforce Industry Partnership, PON 3442 Workforce Training	34,518
O'Brien & Gere Engineers, Inc.	DER Integration(Intrcnct), PON 3404 DER Integration	120,645
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	21,027
Oakvale Construction Co. Ltd.	LARGE SCALE RENEWABLES, Black Brook Hydro	25,550
OK Petroleum Distribution Corp	FUEL NY, PGI00123 - OK Petroleum Distri	78,930
	FUEL NY, PGI00158 - OK Petroleum Distri	84,602
	FUEL NY, PGI00161 - OK Petroleum Distri	109,726
	FUEL NY, PGI00196 - OK Petroleum Distri	124,669
OLA Consulting Engineers, P.C.	Flexible Tech Assistance, FlexTech Consultant Selection	23,274
OLEDWorks LLC	ADVANCED BUILDINGS, White OLED Light Panels	123,441
Olin Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	208,601
Omnicap Group, LLC	GJGNY REVOLVING LOAN FUND, Financial Advisory Services	38,298
OnForce Solar	NY-SUN, PV System at ASI Specialties,	133,034
Onyx Renewable Partners, LP	<200KW PV, NY Sun	1,520,010
Open Market ESCO LLC	CLEANER GREENER COMMUNITIES, CGC41141 - Sibley Redev.	244,701
Opinion Dynamics Corporation	EVALUATION, Commercial Statewide Baseline	429,496
	Real Time Enrgy Management, Opinion Dynamics Corp	13,500
	Remote Energy Management, Opinion Dynamics Corp	0
Oracle America, Inc.	MARKET PATHWAYS, Behavioral Demonstrations Prog	107,644
Otsego County Conservation Associa..	Community RH&C, PON3723 RH&C Campaigns	14,000
OwnSolar, LLC	NY-Sun	93,246
	NY-SUN, PV System @ Stewart's Shops	205,565
Ozz Solar Development Inc.	>200KW PV, NY Sun C&I	51,408
Pace University	NEW CONSTRUCTION PROGRAM, NCP12269 - Pace Residence Hall	23,247
Pace University School of Law	>200KW PV, CGC31911 - Pace Law School	4,384

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Contractor	Contract Description	Total Expended Amount
Pace University School of Law	CLEANER GREENER COMMUNITIES, CGC31911 - Pace Law School	154,442
Palobueno Real Estate Corp.	Flexible Tech Assistance, FlexTech Program - PON 1746	4,738
Pamal Broadcasting Ltd	>200KW PV, NY-Sun C/I	222,373
Paradise Energy Solutions, LLC	<200KW PV, NY Sun	44,450
Park South Tenants Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	77,250
Pathfinder Engineers & Architects, LLP	Commercial New Construc, Pathfinder - EMP	2,283
Pathstone Corporation	Community Energy Engagement, CEEP Finger Lakes Region (PATH	43,063
Patterson Farms, Inc.	ANAEROBIC DIGESTER, Patterson Farms Scrubber	4,805
People United for Sustainable Housing In	CLEANER GREENER COMMUNITIES, CGC42826 - PUSH	315,491
	Community Energy Engagement, CEEP Western New York Region	51,524
Peter Tavino PE PC	Geothermal Incentive Program, Large-Scale GSHP Rebate	16,027
Pinsu Inc.	FUEL NY, PGI00206 - Pinsu Inc.	90,336
PlugPV, LLC	<200KW PV, NY Sun	14,910
PMG Northeast LLC	FUEL NY, PGI00024 - PMG Northeast LLC	92,838
	FUEL NY, PGI00050 - PMG Northeast LLC	91,352
	FUEL NY, PGI00074 - PMG Northeast LLC	86,034
	FUEL NY, PGI00075 - PMG Northeast LLC	89,061
	FUEL NY, PGI00181 - PMG Northeast LLC	102,181
Polytechnic University,	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-Concep..	22,500
Poseidon Systems, LLC	CLEAN TRANSPORTATION, Renewable, Clean Energy and En	37,574
Postgraduate Center for Mental Health	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,000
Potters Industries	Industrial Process Effic, Industrial Process Efficiency	55,232
Powerlutions, LLC	<200KW PV, NY Sun	6,195
PPD Partners III LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	60,750
Produttiva LLC	Commercial New Construc, NCP15026-DeCicco Sons Millwood	38,892
Project Company Phase I-F, LLC	NY-SUN, PV System @ FedEx Ground	26,629
Promesa Housing Development Fund ..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	71,600
Proven Energy Systems	<200KW PV, NY Sun	5,808
Pterra, LLC	DER Integration(Intrcnct), FlexTech Consultant Selection	81,280
	DER Integration(Intrcnct), PON 3404 DER Integration	123,146
Pyramid Energy Engineering Services PLLC	NextGen HVAC, FlexTech Consultant Selection	30,630
	Renewable Heat NY, FlexTech Consultant Selection	66,261
Quanta Technology LLC	High Performing Grid, PON 3397 Round 2 - Category A	62,000
	Off-Shore Wind Pre-Dev Act, RFP 3462	590
Queensview, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	254,100
Quixotic Systems, Inc.	<200KW PV, NY Sun	37,767
	<200KW PV, NY-Sun	12,440
QwikSolar, LLC	<200KW PV, NY-Sun	9,681
R3 Energy Management Audit & Review, LLC	Real Time Enrgy Management, CardinalHS-650 Grand Conc-RTEM	12,000
	Real Time Enrgy Management, Jack Resnick-8 W 40th St-RTEM	15,600
	Real Time Enrgy Management, R3 - 880 3rd Avenue - RTEM	16,800
R-Display and Lighting LLC	ADVANCED BUILDINGS, Advanced Buildings Technology	90,459
RAC Holdings Corp.	Low-Income Forum on Energy, Mazzone Hospitality- LIFE 2018	5,964
Rapid Response Monitoring Services, ..	Industrial Process Effic, Industrial Process Efficiency	31,810
RD & Associates Consulting LLC	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	68,294
RED Rochester	Industrial Process Effic, Industrial Process Efficiency	600,000
ReEnergy Black River LLC	LARGE SCALE RENEWABLES, Black River Facility	4,169,913
Regeneron Pharmaceuticals Inc.	>200KW PV, NY Sun	312,120

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Contractor	Contract Description	Total Expended Amount
Related Management Company LP	Workforce Industry Partnership, PON 3442 BOM Training Program	109,843
Remica Property Group Corp.	FUEL NY, PGI00250 - Remica Property Gro	116,600
Remsen Central School District	Flexible Tech Assistance, FlexTech Program - PON 1746	11,945
Renovus Energy, Inc.	<200KW PV, NY Sun	157,886
	>200KW PV, NY Sun	17,753
Renovus Rock, LLC	>200KW PV, NY-Sun C&I	68,450
Rensselaer Polytechnic Institute	CLEAN TRANSPORTATION, Off Hour Delivery Trusted Vend	3,525
	CLEAN TRANSPORTATION, RPI - PON 3198	5,328
Rensselaer Polytechnic Institute-LRC	ADVANCED BUILDINGS, Desktop Lighting Control	32,000
	ADVANCED BUILDINGS, EE LED Lighting Controls	30,218
	CLEAN TRANSPORTATION, LED Roadway Lighting Demo	26,473
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, L..	12,026
Rescue Mission of Utica, Inc.	Low Rise New Construction, New Construction	43,000
Research Foundation of CUNY	CLEAN TRANSPORTATION, CAVs Impacts Study	42,812
	CLEAN TRANSPORTATION, Freight in Complete Streets	1,063
	CLEAN TRANSPORTATION, Virtual TMA Demo	5,892
	ENVIRONMENTAL RESEARCH, Integrated Air Quality Monitor	50,661
	NY-SUN, Affordable Solar NYCHA Commerc	39,200
	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 1	286,570
Research Foundation of SUNY	ADVANCED BUILDINGS, Warm-Water Server Cooling	180,000
	COMBINED HEAT AND POWER, SUNY ESF Gateway CHP Demo	142,183
	ENERGY ANALYSIS, Accelerated Recovery	0
	ENVIRONMENTAL RESEARCH, Accelerated Recovery	17,537
	ENVIRONMENTAL RESEARCH, Combining Measurements and Mod	39,434
	ENVIRONMENTAL RESEARCH, IDEA-NYS air quality forecast	69,895
	ENVIRONMENTAL RESEARCH, Seiche in Eastern Lake Erie	75,492
	FUEL CELLS, CNSE Fuji Fuel Cell	147,721
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EFRC co-funding	2,700
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, UV EB Technol..	50,000
	OTHER PROGRAM AREA, Regional Economic Development	23,334
	OTHER PROGRAM AREA, Roof Integrated Light Weight P	0
	RENEWABLE HEAT NY, College woodstove design team	12,597
	WORKFORCE DEVELOPMENT, Roof Integrated Light Weight P	0
Research Foundation of SUNY (Buffal..	RENEWABLE HEAT NY, College Woodstove design team	12,993
Research Foundation of The City	ENVIRONMENTAL RESEARCH, Coastal monitoring framework	35,251
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Birnessite for Gr..	41,792
	OTHER PROGRAM AREA, NYC Grid Ready Solar	53,086
	RENEWABLES & DER INTEGRATION, Environmentally Preferred Powe	1,294
	WORKFORCE DEVELOPMENT, NYC Grid Ready Solar	53,086
Research Into Action, Inc.	ADVANCED BUILDINGS, Pilot Evaluation Services	1,098
	Clean Energy Communities, Research Into Action TWO	61,188
	EVALUATION, Research Into Action TWO	9,561
	Workforce Industry Partnership, Research Into Action TWO	163,577
Richmond University Medical Center	COMBINED HEAT AND POWER, CHP Perform Incentive-PON 2701	300,000
Riseboro Community Partnership, Inc.	Workforce Industry Partnership, PON 3442 Workforce Training	102,942
Robert Derector Associates	Commercial Real Estate Ten, Robert Derector-300VeseySt-CT	8,750
Roberto R Romano	Geothermal Incentive Program, Large-Scale GSHP Rebate	18,540
Rochester Institute of Technology	Cleantech Incubator, PON3413 Clean Energy Incubator	437,500

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Contractor	Contract Description	Total Expended Amount
Rochester Institute of Technology	SMART GRID SYSTEMS, EPTD Smart Grid Program	21,971
Rochester Steel Treating Works	Industrial Process Effic, Industrial Process Efficiency	2,771
Rockland County Sewer District No. 1	ANAEROBIC DIGESTER, Rockland Cty Sewer district 1	159,389
Rohan Development LLC	Multifam New Construction, MFNC-577 West 161st	1,200
Rosebud Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	72,000
Rosenblum Property Services, LLC	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mgmt Ser..	54,830
Ross Solar Group, LLC	>200KW PV, NY-Sun C&I	106,189
	NY-SUN, 28798 RPS CST Regional Program	44,009
	NY-SUN, RPS CST Regional Program	58,584
Rudin Management Co. Inc.	EXISTING FACILITIES, DMP Bonus - Rudin Management	185,039
Rural Generation & Wind (Rodney We..	<200KW PV, NY Sun	6,720
Rural Ulster Preservation Company	Low Rise New Construction, New Construction	34,000
RXR Realty LLC	EXISTING FACILITIES, DMP Bonus - RxR	57,954
Ryan Homes (Virginia)	Low Rise New Construction, New Construction	221,650
S & L Electric, Inc.	NY-SUN, NY-Sun	59,763
Safari Energy LLC	NY-SUN, New York Sun Competitive PV	49,173
	NY-SUN, New York Sun Competitive PV Pr	275,199
	NY-SUN, Rooftop PV installation	4,938
	PV System @ Diamond Nyack	390,164
Schenectady County	Clean Energy Communities, Schenectady County	62,500
Sea Bright Solar, LLC	<200KW PV, NY Sun	30,240
SEC Newco, LLC	NY-SUN, NY-Sun Competitive PV Program	376,598
SecondMuse LLC	M-Corps, Technology to Market	155,000
Seed Renewables Inc.	<200KW PV, NY Sun	9,460
Seneca Energy II, LLC	LARGE SCALE RENEWABLES, Ontario LFGE	234,260
	LARGE SCALE RENEWABLES, Seneca Energy	498,524
Seneca Food Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	40,425
Seneca Strategic Consulting, LLC	CLEANER GREENER COMMUNITIES, CGC43425 -Ithaca 2030 District	9,130
Seven Springs West LLC	WEST VALLEY DEVELOPMENT PROGRAM, Operations and Maintenanc..	196,081
Shared Mobility, Inc.	CLEAN TRANSPORTATION, Shared Mobility Network	38,868
Sheldon Energy, LLC	LARGE SCALE RENEWABLES, High Sheldon Wind Farm	1,963,331
Site 2 DSA Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	78,000
Sive Paget & Riesel PC	NYSERDA ADMINISTRATION, RFP 3300 & RFP 3776 Outside Co	3,909
	Off-Shore Wind Master Plan, RFP 3300 & RFP 3776 Outside Co	163,676
	OREC: Technical Support, RFP 3300 & RFP 3776 Outside Co	65,892
	REC:CES REC System Dev Costs, RFP 3300 & RFP 3776 Outside Co	18,321
	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 & RFP 3776 Outs..	39,497
Skyline Solar Inc.	<200KW PV, NY Sun	16,620
Skyven Technologies, LLC	OTHER PROGRAM AREA, Technology to Market	375,000
SmallGrid LLC	<200KW PV, NY Sun	5,236
Smarter Grid Solutions, Inc.	DER Integration(Intrcnct), PON 3404 DER Integration	45,700
	High Performing Grid, PON 3397 CAT A	152,760
	High Performing Grid, PON 3397 CAT B	60,000
	High Performing Grid, PON 3397 Round 2 - Category B	160,000
Smith Engineering PLLC	Flexible Tech Assistance, FlexTech Consultant Selection	43,196
Snow Economics, Inc.	Industrial Process Effic, Industrial Process Efficiency	30,115
Snyder Manufacturing, Inc	Geothermal Incentive Program, Large-Scale GSHP Rebate	65,938
Solar Alchemy, Inc.	<200KW PV, NY Sun	7,110

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Contractor	Contract Description	Total Expended Amount
Solar Census LLC	OTHER PROGRAM AREA, Remote Rooftop Shade Tool	378
	WORKFORCE DEVELOPMENT, Remote Rooftop Shade Tool	378
Solar Dad and Sons Inc	<200KW PV, NY Sun	105,629
Solar Energy LLC	<200KW PV, RES-NewConst(no longer in use)	62,640
Solar Generation, Inc.	<200KW PV, NY Sun	18,040
Solar Liberty Energy Systems, Inc	<200KW PV, NY Sun	127,120
	<200KW PV, NY-Sun	11,282
	NY-Sun	5,460
	NY-SUN, PV System @ SUNY New Paltz	22,163
	NY-SUN, PV System @ Wegmans Store 71	97,167
	NY-SUN, PV System @ Wegmans, 300 Marke	84,644
	NY-SUN, PV System @ Wegmans, 745 Calki	80,229
	NY-SUN, PV System @ Wegmans, 1885 Chil	40,410
	SMART GRID SYSTEMS, Purchase of Equipment	62,500
Solar Mission II LLC	NY-Sun C&I Saratoga Springs	439,229
Solar Plumbing Design Inc	<200KW PV, NY Sun	6,192
SolarCity Corporation	<200KW PV, NY Sun	72,726
	>200KW PV, Commercial/Industrial	46,050
	>200KW PV, Commercial/Industrial PV	473,822
	>200KW PV, Commercial/IndustrialPV	899,195
	NY-SUN, NY-Sun	22,166
	NY-SUN, PV System at Millbrook School	280,064
	NY-SUN, PV System at Oneida County	222,213
	NY-SUN, PV System at Onondaga County	249,649
	PV System @ Onondaga County Ja	278,191
SolarKal LLC	OTHER PROGRAM AREA, Technology to Market	75,000
Solcius, LLC	<200KW PV, NY Sun	6,090
Southern Tier Central Regional Planni..	CLEANER GREENER COMMUNITIES, CGC40255 - Cooperative Compreh	25,378
Southport, LLC	>200KW PV, NY Sun	111,972
Sperry Energy	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	20,350
Speyside Holdings, LLC	Industrial Process Effic, Industrial Process Efficiency	29,628
SS&C Technologies, Inc.	NEW YORK GREEN BANK, Fund Administration/Loan Inves	196,745
St. Ann's Warehouse	NEW CONSTRUCTION PROGRAM, NCP11351 - St. Ann's Warehouse	16,768
St. John's University	EXISTING FACILITIES, EFP2116-St Johns University -	43,592
	REV Campus Challenge, REV CC - Roadmaps	153,360
St. Lawrence University	REV Campus Challenge, RM10 - St Lawrence University	113,085
Stanley Senior Housing Development ..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	3,394
Stantec Consulting Services, Inc.	Industrial Process Effic, Technical Review and Program S	17,208
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	3,299
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	304
Steve Subik	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	9,477
Steven Winter Associates, Inc.	CLEANER GREENER COMMUNITIES, FlexTech Consultant Selection	2,790
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, O..	11,500
	EXISTING FACILITIES, Technical Review and Program S	929
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	13,768
	Low Rise New Construction, Technical Review and Program S	14,179
	Multifam New Construction, Technical Review and Program S	14,179
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	5,915

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Contractor	Contract Description	Total Expended Amount
Steven Winter Associates, Inc.	NextGen HVAC, Linkage-Less Burner Retrofit	7,140
	Real Time Enrgy Management, Dunn Dev-1212 MLK Blvd-RTEM	3,267
Stonework Capital LLC	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	62,530
Stony Creek Energy LLC	LARGE SCALE RENEWABLES, Stony Creek Wind Farm	2,688,167
STR Systems NY, LLC	<200KW PV, NY Sun	3,767
Sullivan Solar Garden, LLC	NY-SUN, PV System @ Sullivan County Co	302,686
Sumintra	<200KW PV, NY Sun	7,920
Sun Source Technologies	<200KW PV, NY Sun	42,791
	<200KW PV, NY-Sun	5,775
SuNation Solar Systems, Inc.	<200KW PV, NY Sun	167,797
Sunlight Beacon LLC	>200KW PV, NY-Sun C/I	209,439
Sunlight General Capital LLC	<200KW PV, NY Sun	53,071
	NY Sun	22,744
Sunnova Energy Corp	<200KW PV, NY Sun	5,448
SunPower Capital, LLC	<200KW PV, NY Sun	149,897
	<200KW PV, NY-Sun	6,736
SunRay Power LLC	NY-SUN, RPS CST Regional Program	86,522
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY Sun	177,595
	<200KW PV, NY-Sun	104,920
Sunrise Solar Solutions, LLC	<200KW PV, NY Sun	42,247
	>200KW PV, NY-Sun C&I	75,580
SunRun, Inc	<200KW PV, NY Sun	11,164
Sunthru LLC	ADVANCED BUILDINGS, Advanced Buildings Technology	8,320
SunVest, Solar INC	<200KW PV, NY Sun	17,745
SUNY - ESF	ENVIRONMENTAL RESEARCH, Biofiltration drainage media	35,220
SUNY at Albany	ENVIRONMENTAL RESEARCH, Climate Change & Renewables	12,330
SUNY Buffalo	ADVANCED BUILDINGS, Climate Impacts on Buildings	22,981
	ENVIRONMENTAL RESEARCH, Climate Impacts on Buildings	34,111
SUNY Cortland	<200KW PV, NY-Sun	13,500
SUNY Delhi	Industrial Process Effic, Industrial Process Efficiency	5,931
SUNY Fredonia	NEW CONSTRUCTION PROGRAM, NCP11079 - Rockefeller Arts Ce	102,928
SUNY Oneonta	NEW CONSTRUCTION PROGRAM, PON1601 R2	40,934
Sustainable Energy Advantage, LLC	>200KW PV, Large Scales Renewables Techni	1,200
	LARGE SCALE RENEWABLES, Large Scales Renewables Techni	8,170
	Off-Shore Wind Pre-Dev Act, Large Scales Renewables Techni	78,378
	REC:CES REC Pgm Non-Rec Exp, Large Scales Renewables Techni	6,206
	REC:CES REC System Dev Costs, Large Scales Renewables Techni	202,005
	ZEC:CES ZEC System Dev Costs, Large Scales Renewables Techni	23,800
Sustainable Energy Developments Inc.	<200KW PV, NY Sun	120,160
Sustainable Westchester	Community RH&C, PON3723 RH&C Campaigns	9,000
SWBR Architecture, Engineering & La..	Retrofit NY, Multifamily	37,500
Sweetwater Energy, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cellulosic Sugar..	55,000
Syracuse University	CLEAN TRANSPORTATION, Syracuse Transp Alternatives	33,911
	ENVIRONMENTAL RESEARCH, Estimating Soil Weathering	51,308
	ENVIRONMENTAL RESEARCH, Monitoring of NYS fish for Hg	27,025
	ENVIRONMENTAL RESEARCH, Nutrient Dynamics in the ADKs	3,491
T.Y. Lin International	CLEANER GREENER COMMUNITIES, Energy Code Support Services	183,463
Taitem Engineering, P.C.	<200KW PV, NY Sun	12,583

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Contractor	Contract Description	Total Expended Amount
Taitem Engineering, P.C.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	18,496
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, L..	73,158
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	26,006
	Flexible Tech Assistance, FlexTech Consultant Selection	11,431
	Geothermal Incentive Program, Technical Review and Program S	33,365
	GJGNY REVOLVING LOAN FUND, Technical Review and Program S	16,141
	GREEN AFFORDABLE HOUSING, MEPP Quality Assurance Contrac	3,780
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	11,281
	MULTIFAMILY PERFORMANCE PROGRAM, MEPP Quality Assurance Co..	109,997
	NEW YORK ENERGY STAR HOMES, Technical Review and Program S	8,119
	NextGen HVAC, FlexTech Consultant Selection	35,054
	On-Site Energy Manager, FlexTech Consultant Selection	113,994
Talen Energy Marketing, LLC	LARGE SCALE RENEWABLES, Locust Ridge Wind Farm	329,429
Tannery Road Solar, LLC	NY-SUN, PV System at City of Rome	326,430
Tech Valley Talent, LLC	NYSERDA ADMINISTRATION, Staff Augmentation	669,216
	REC:CES REC System Dev Costs, Staff Augmentation	98,712
	ZEC:CES ZEC System Dev Costs, Staff Augmentation	84,380
Tecogen	Combined Heat and Power, CHPA - 200 East 57th Street	66,361
	COMBINED HEAT AND POWER, CHPA - 205 East 92nd Street	231,000
	Combined Heat and Power, CHPA - 215 Pearl St	56,430
	COMBINED HEAT AND POWER, CHPA - 261 Hudson	59,400
	Combined Heat and Power, CHPA - 555 West 23rd St	103,950
	Combined Heat and Power, CHPA - 1249 Park Ave	56,430
	Combined Heat and Power, CHPA - Amherst	128,081
	COMBINED HEAT AND POWER, CHPA - Excelsior	115,500
	COMBINED HEAT AND POWER, CHPA - Fairview	168,300
	COMBINED HEAT AND POWER, CHPA - Glenn Gardens	115,500
	Combined Heat and Power, CHPA - Metropolitan Detention	103,950
	COMBINED HEAT AND POWER, CHPA - St Tropez Condominium	153,340
	COMBINED HEAT AND POWER, CHPA - Surf 21	168,300
	Combined Heat and Power, CHPA - Transcontinental Ultra	120,966
	COMBINED HEAT AND POWER, CHPA - Village View 1	73,735
	COMBINED HEAT AND POWER, CHPA - Village View 4	73,735
	COMBINED HEAT AND POWER, CHPA - Winston Churchill	118,800
	COMBINED HEAT AND POWER, On-Site Power	73,735
Tern Construction & Development, LLC	Low Rise New Construction, New Construction	58,400
	NEW YORK ENERGY STAR HOMES, New Construction	90,000
Texas A&M	ADVANCED BUILDINGS, Behavior Research & Energy Dec	48,046
The Board of Trustees	Environmental Research, NADP Program Contract	5,584
The Cadmus Group, LLC	>200KW PV, RFQL3434 Cat1 NYSUN C/I	16,027
	Commercial Real Estate Ten, RFQ 3183 The Camdus Group Inc	167,387
	Community RH&C, RFP3751 Clean Heating & Coolin	21,098
	COMMUNITY SOLAR, RFP 3764Solarize TA Provider	60,962
	Eval MCDC Cross Cutting, RFQ 3183 The Camdus Group Inc	31,795
	NY-SUN, RFQL3434 Cat1 NYSUN C/I	5,193
	On-Site Energy Manager, RFQ 3183 The Camdus Group Inc	27,207
	Real Time Enrgy Management, RFQ 3183 The Camdus Group Inc	0
	Residential-Engaging New Mkts, RFQ 3183 The Camdus Group Inc	5,379

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Contractor	Contract Description	Total Expended Amount
The Cadmus Group, LLC	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 4	503,715
	Strategic Energy Manager, RFQ 3183 The Camdus Group Inc	27,207
The Center for New York City	Community Energy Engagement, CEEP New York City Region (CNY	126,683
The Community Builders, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	30,600
The Great Plains Institute for	OTHER PROGRAM AREA, DOE grant - UER - Minnesota	40,002
The Levy Partnership, Inc.	ADVANCED BUILDINGS, EIFS DEEP Retrofits	0
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	58,103
	Retrofit NY, Multifamily	37,500
The Logue Group	WEST VALLEY DEVELOPMENT PROGRAM, WV- Demonstration Project	22,538
The Radiant Store	Renewable Heat NY, Clean Heating & Cooling	25,070
	Renewable Heat NY, Radiant Store - Rutkowski	12,000
The Renewables Consulting Group, L..	Off-Shore Wind Pre-Dev Act, RFP 3462	202,968
The Research Foundation for SUNY	CLEAN TRANSPORTATION, Autonomous EV Campus Demo	64,664
The Research Foundation for the State	RENEWABLE HEAT NY, Lignocellulosic pellets	10,723
The Research Foundation of SUNY at Bing	Cleantech Geo Coverage, PON3413 Clean Energy Incubator	0
	Cleantech Incubator, PON3413 Clean Energy Incubator	286,400
The RF of SUNY Binghamton Universi..	High Performing Grid, PON 3397 Round 2 - Category A	64,665
The Trustees of Columbia University	ENVIRONMENTAL RESEARCH, Buildings Climate Adaptation	92,727
	ENVIRONMENTAL RESEARCH, GIS flood mapping tool	76,200
	ENVIRONMENTAL RESEARCH, Tropical Cyclone Risk Model	68,170
	ENVIRONMENTAL RESEARCH, Upstate building footprints	139,472
	OTHER PROGRAM AREA, PON 3249 ACE Electrofuels	35,842
The Weidt Group, Inc.	Commercial New Construc, EMP - Weidt	14,950
	Real Time Enrgy Management, Environ-257 Park Ave S-RTM	22,111
Thomson Reuters	Flexible Tech Assistance, FlexTech Program - PON 1746	13,931
Thornton Tomasetti, Inc.	Commercial New Construc, Thornton Tomasetti-EMP	18,119
Time Warner Cable Enterprises, LLC	EXISTING FACILITIES, DMP Bonus - Time Warner	122,311
TM Montante Solar Developments, LLC	<200KW PV, NY Sun	24,305
	<200KW PV, NY-Sun	6,300
	<200KW PV, RES-NewConst(no longer in use)	104,775
	NY-Sun	2,100
Tompkins County	Clean Energy Communities, CEC011216 - Tompkins County	62,500
Top Green LLC	FUEL NY, PGI00010 - Top Green LLC	125,247
Town of Avon	Clean Energy Communities, Town of Avon	12,500
Town of Batavia	Clean Energy Communities, Town of Batavia	25,000
Town of Bedford	CLEANER GREENER COMMUNITIES, CGC62563 - Town of Bedford	161,500
Town of Cazenovia	Clean Energy Communities, PON 3298 CEC	12,500
Town of Chester	ADVANCED BUILDINGS, Biomass Steam Boiler System	0
	RENEWABLE HEAT NY, Biomass Steam Boiler System	65,000
Town of Clarence	NEW CONSTRUCTION PROGRAM, NCP12952 -ClarencePolCrtS-OFLT	10,415
Town of Clarkstown	CLEANER GREENER COMMUNITIES, CGC41249 - Nanuet Transit Plan	3,750
Town of Clifton Park	Clean Energy Communities, CEC400011 - Town of Clifton Pa	12,500
Town of DeWitt	Clean Energy Communities, Town of DeWitt	25,000
Town of East Hampton	CLEANER GREENER COMMUNITIES, Town of East Hampton	25,000
	COMMUNITY SOLAR, Solarize 2018	5,000
Town of Ellicott	CLEANER GREENER COMMUNITIES, CEC101457 - Town of Ellicott	39,034
Town of Ellicottville	Clean Energy Communities, Town of Ellicottville	12,500
Town of Esopus	COMMUNITY SOLAR, Solarize 2018	5,000

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Contractor	Contract Description	Total Expended Amount
Town of Franklin	Clean Energy Communities, Town of Franklin	32,500
Town of Grand Island	COMMUNITY SOLAR, Solarize 2018	5,000
Town of Hyde Park	CLEANER GREENER COMMUNITIES, CGC41658 - Retrofitting Hyde P	116,980
Town of New Castle	CLEANER GREENER COMMUNITIES, Town of New Castle	25,000
Town of Persia	Clean Energy Communities, PON 3298 CEC	12,500
Town of Plattsburgh	Clean Energy Communities, Town of Plattsburgh	25,000
Town of Queensbury	COMMUNITY SOLAR, Solarize 2018	5,000
Town of Red Hook	Clean Energy Communities, CEC500662 - Town of Red Hook	25,000
Town of Southampton	COMMUNITY SOLAR, Solarize 2018	5,000
Town of Ulysses	Clean Energy Communities, PON 3298 CEC	25,000
	CLEANER GREENER COMMUNITIES, CGC39053 - Town of Ulysses	34,000
Trane	Real Time Enrgy Management, 310 Prospect Park West - RTEM	5,673
	Real Time Enrgy Management, Americas Soc-680 Park Ave-RTEM	10,799
	Real Time Enrgy Management, Hudson City Schools-RTEM	150,000
	Real Time Enrgy Management, Kaplan School-131 W 56th-RTEM	37,050
	Real Time Enrgy Management, Multi Campus-100 Bridge-RTEM	144,058
TransCore ITS LLC	CLEAN TRANSPORTATION, Green Traffic Control Cabinet	1,803
Transit Wireless	Industrial Process Effic, Industrial Process Efficiency	27,500
TRC Energy Services	>200KW PV, Staff Augmentation Services	132,090
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,474
	Commercial New Construc, Technical Review and Program S	17,757
	Commercial Real Estate Ten, Technical Review and Program S	22,297
	ENVIRONMENTAL RESEARCH, Staff Augmentation Services	69,485
	EXISTING FACILITIES, Technical Review and Program S	19,094
	Flexible Tech Assistance, Staff Augmentation Services	66,005
	Flexible Tech Assistance, Technical Review and Program S	14,761
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	13,676
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	75,105
	Industrial Process Effic, Technical Review and Program S	655
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	4,888
	K-12 SCHOOLS, FlexTech Consultant Selection	14,941
	Low-Income Forum on Energy, LIFE Implementation Services	16,459
	Multifam New Construction, MF Energy Perf Portfolio Imple	145,132
	Multifam Performance Pgm, MF Energy Perf Portfolio Imple	400,243
	Multifam Performance Pgm, Staff Augmentation Services	109,214
	MULTIFAMILY PERFORMANCE PROGRAM, MF Energy Perf Portfolio Im..	0
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	100,624
	Real Time Enrgy Management, Technical Review and Program S	45,039
	REC:CES REC System Dev Costs, Staff Augmentation Services	20,000
	Workforce Industry Partnership, Technical Review and Program S	23,936
Trees New York	GREENING THE BRONX, Greening The Bronx	8,675
Triborough Preservation LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	0
Trisul Inc	FUEL NY, PGI00145 - Trisul Inc.	113,021
TTcogen, LLC	Combined Heat and Power, CHPA - LeFrak - LeFrance Paris	13,860
	Combined Heat and Power, CHPA - Savoy Park II Building	13,860
	Combined Heat and Power, CHPA- LeFrak - West Side Manor	13,860
TurnKey Internet, Inc.	Industrial Process Effic, Industrial Process Efficiency	165,073
Twin Mill Farms	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	25,113

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Contractor	Contract Description	Total Expended Amount
Two Plus Four Construction Co., Inc.	Low Rise New Construction, New Construction	54,800
U.S. Geological Survey (Troy).	ENERGY ANALYSIS, Accelerated Recovery	0
	ENVIRONMENTAL RESEARCH, Accelerated Recovery	13,324
	ENVIRONMENTAL RESEARCH, Acid Deposition and Mercury Re	38,165
U.S. Green Building Council, NY Chapter	ADVANCED BUILDINGS, Improving Steam Distribution	32,500
	ADVANCED ENERGY CODES, Energy Code Training: A/Es	88,632
	Workforce Industry Partnership, PON 3715 Workforce Training	18,411
UGE USA Inc.	<200KW PV, NY Sun	40,358
Ulster, County of	Clean Energy Communities, CEC510646 Ulster County	62,500
Umicore Technical Materials	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Thru-lays for Ad..	60,000
Union College	COMBINED HEAT AND POWER, PON2701 - CHP Program	1,100,000
Unique Comp Inc.	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	819,166
Unique Electric Solutions of NYS LLC	CLEAN TRANSPORTATION, UPS All-Electric Vehicle Demo	165,795
Unique Technical Services, LLC	CLEAN TRANSPORTATION, Advanced Transportation Tech	200,137
	Pub Transit & Elect Rail, Advanced Transportation Tech	25,644
United Way of Long Island	OTHER PROGRAM AREA, CEEP Long Island (UWLI)	24,979
United Wind Project I, LLC	SMALL WIND, Wind Turbine Incentive	27,094
University at Albany	Geothermal Incentive Program, GSHP Incentve	200,000
University of Maryland	OTHER PROGRAM AREA, DOE UER - Maryland	15,677
University of Rochester	ENVIRONMENTAL RESEARCH, Air Quality & Hlth Effects	38,247
	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	73,694
	ENVIRONMENTAL RESEARCH, Impact of environmental polici	58,150
	ENVIRONMENTAL RESEARCH, Long-Term Monitoring of Methan	39,877
Urban Electric Power, LLC	CLEAN TRANSPORTATION, Zinc MO2 battery scale up	55,000
	SMART GRID SYSTEMS, 1MWh Peak-Shaving Battery	0
Urban Homesteading Assistance Inc	NY-SUN, Affordable Solar Predev UHAB	57,570
USTA National Tennis Center, Inc.	NEW CONSTRUCTION PROGRAM, NCP12469 - Billie Jean King Na	25,812
Utilities Program & Metering, Inc.	Real Time Enrgy Management, Tom Damsell - 1 Liberty - RTEM	16,380
Vandale Motors Inc.	FUEL NY, PGI00003 - Vandale Motors Inc.	96,121
Vassar College	NEW CONSTRUCTION PROGRAM, NCP10277 - Integrated Science	38,104
Venture Home Solar LLC	<200KW PV, NY Sun	24,239
Verizon Communications Inc	Industrial Process Effic, Industrial Process Efficiency	37,841
Vermont Energy Investment Corporation	Air Source Heat Pumps, Renewable Heating Cooling TA	50,000
	CLEAN TRANSPORTATION, EV Dealer Incentive Program	11,765
	Commercial Imp Assist, Technical Review and Program S	78,001
	Industrial Process Effic, Technical Review and Program S	66,518
	MARKET PATHWAYS, Res Upstream HVAC Initiative	145,000
	Net Zero Energy Modular Homes, Technical Review and Program S	119,992
	Strategic Energy Manager, RFP 3352	292,396
Vidaris, Inc.	ADVANCED ENERGY CODES, Code Manual for Design Pros	36,629
	Commercial New Construc, Vidaris - EMP	12,578
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	4,685
	NEW CONSTRUCTION PROGRAM, Technical Assistant Services..	16,461
	NEW CONSTRUCTION PROGRAM, Vidaris - EMP	1,859
Village of Cazenovia	Clean Energy Communities, Village of Cazenovia	12,500
Village of Cold Spring	CLEANER GREENER COMMUNITIES, CGC30400 - Village of Cold Sp	349
Village of Deposit	CLEANER GREENER COMMUNITIES, CGC28581 - Village of Deposit	27,469
Village of Falconer	CLEANER GREENER COMMUNITIES, Village of Falconer	22,500

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Contractor	Contract Description	Total Expended Amount
Village of Pulaski	Clean Energy Communities, Village of Pulaski	12,500
Village of Rockville Centre	SMART GRID SYSTEMS, RFP 3044 R2	590,000
Village of Spencerport	CLEANER GREENER COMMUNITIES, Village of Spencerport	25,000
Vincents Heating and Fuel Service, LL..	Renewable Heat NY, Vincents Heating - Diorios	11,650
Viola Homes Inc.	<200KW PV, NY Sun	58,872
Vishay Thin Film	Industrial Process Effic, Industrial Process Efficiency	15,095
Visual Arts Research and Resouce Ce..	NEW CONSTRUCTION PROGRAM, NCP98420 - East 125th St Fireh	6,333
Vital Vio, Inc.	ADVANCED BUILDINGS, Advanced Buildings Technology	35,000
Vivint Solar	<200KW PV, NY Sun	26,285
Vnomics Corp	CLEAN TRANSPORTATION, Truck Trip Fleet Study	11,156
Voltaic Solaire LLC	<200KW PV, NY Sun	10,376
Vornado Office Management LP	EXISTING FACILITIES, DMP Bonus - Vornado	83,831
Vornado Realty Trust	EXISTING FACILITIES, Existing Facilities Program -	136,376
Wappingers Falls Hydroelectric, LLC	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	4,660
Warren Pinnacle Consulting, Inc.	ENVIRONMENTAL RESEARCH, SLAMM adaptation	0
Watertown, City of	OTHER PROGRAM AREA, Sludge permitting and design	38,739
Weaver Wind Energy, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Weaver Wind 1..	86,219
Wendel Energy Services, LLC	Flexible Tech Assistance, FlexTech Consultant Selection	76,704
	Industrial Process Effic, Technical Review and Program S	2,921
Wendel WD Architecture, Engineering,	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	1,250
West Hill Energy & Computing, Inc.	EVALUATION, RFQ 3183 West Hill Energy	39,330
West Side Federation for Senior & Su..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	101,400
Westchester Chamber Educational	CLEANER GREENER COMMUNITIES, CGC26702 - WGBC	160,435
Westhab, Inc.	GREEN AFFORDABLE HOUSING, Multifamily	6,082
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	30,412
WGL Energy Systems, Inc.	FUEL CELLS, CST FC Marcus Garvey	150,000
	Hollingsworth & Vose	433,350
	NY-Sun	520,346
	NY-SUN, Competitive PV Program - Macy	133,591
	NY-SUN, Competitive PV Program - Macy'	134,781
	NY-SUN, NY Sun Competitive PV Program	49,372
	Town of Walworth	129,216
Wilfrid Developers, LLC	Multifam New Construction, MFNCP - The Wilfrid	25,000
Willdan Energy Solutions	Campus/Technical Assistance, Staff Augmentation Services	12,711
	Commercial Real Estate Ten, Commercial	82,128
	Community RH&C, Staff Augmentation Services	12,711
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	11,302
	EXISTING FACILITIES, Technical Review and Program S	28,868
	Flexible Tech Assistance, FlexTech Consultant Selection	74,135
	Geothermal Incentive Program, Staff Augmentation Services	12,711
	Industrial Process Effic, Industrial & Agriculture	121,778
	Industrial Process Effic, Technical Review and Program S	57,420
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	85,284
	Multifam Performance Pgm, Staff Augmentation Services	24,639
	Real Time Enrgy Management, Technical Review and Program S	255,248
	Renewable Heat NY, Staff Augmentation Services	12,711
	Solar Thermal, Staff Augmentation Services	12,711
Willoughby Walk Coop Apartments, In..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	113,463

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Contractor	Contract Description	Total Expended Amount
Wiltshire Renewable Energy Systems,...	<200KW PV, NY-Sun	5,040
WSP USA Corp.	Commercial New Construc, WSP-Energy Modeling Partner	24,583
Wurlitzer Industrial Park Inc	NEW CONSTRUCTION PROGRAM, NCP12461 - The Wurlitzer Bldg	22,205
Wyona Apartments LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	23,000
Wythe Berry LLC	NEW CONSTRUCTION PROGRAM, NCP12616 - 55 Wythe Ave.	289,739
Yale University	Campus/Technical Assistance, Clean Heating & Cooling	67,120
Yeshiva University	REV Campus Challenge, RM19 - Yeshiva University	103,050
You Save Green Incorporated	<200KW PV, NY Sun	28,514
ZBF Geothermal LLC	Geothermal Incentive Program, Large-Scale GSHP Rebate	95,669
ZEV Technologies, Inc.,	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	8,181
	CLEAN TRANSPORTATION, Promoting Workplace Charging	0
Zotos International, Inc.	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	27,960
Grand Total		160,470,956

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Contractor	Contract Description	Total Expended Amount
1 Stop Electronics Center, Inc.	Home Perf w Energy Star, Single Family Residential	99,491
	Single Family Residential	18,456
440 Jericho Turnpike Auto Sales, LLC	Clean Transportation	9,900
	Electric Vehicles - Rebate, Clean Transportation	1,100
1135 Millersport HWY LLC	Electric Vehicles - Rebate, Clean Transportation	9,900
2277 NFB, LLC	Electric Vehicles - Rebate, Clean Transportation	13,600
2679bhwllc	Electric Vehicles - Rebate, Clean Transportation	24,200
3900 Sheridan Drive LLC	Electric Vehicles - Rebate, Clean Transportation	5,500
3955 WH Road, LLC	Electric Vehicles - Rebate, Clean Transportation	14,200
AC & APPLIANCES OUTLET CORP	Air Source Heat Pumps, Codes, Products and Standards	11,000
AC & Appliances Supermarket Corp.	Air Source Heat Pumps, Codes, Products and Standards	55,000
Active Cooling & Heating LLC	Air Source Heat Pumps, Codes, Products and Standards	92,000
Adee Motocars LLC	Electric Vehicles - Rebate, Clean Transportation	10,200
Adirondack Chevrolet Buick	Electric Vehicles - Rebate, Clean Transportation	7,700
Adirondack Community Action	Home Perf w Energy Star, Single Family Residential	15,210
	Single Family Residential	1,727
Adirondack North Country Association	POLICY DEVELOPMENT, Consumer Serv & Events Managem	600
ADR Home Energy Solutions LLC.	Home Perf w Energy Star, Single Family Residential	110,375
	Single Family Residential	17,817
Advanced Comfort Systems NY Inc.	Air Source Heat Pumps, Codes, Products and Standards	16,500
Advanced Energy Systems of NY, LLC	Home Perf w Energy Star, Single Family Residential	10,714
Advantage Suzuki LLC	Electric Vehicles - Rebate, Clean Transportation	12,200
Advantage Title Agency, Inc.	GJGNY REVOLVING LOAN FUND, Single Family Residential	122,833
Airtight Services, Inc.	Home Perf w Energy Star, Single Family Residential	56,788
	Single Family Residential	21,552
Alan Buick Inc	Electric Vehicles - Rebate, Clean Transportation	14,300
Albanese Plumbing, LLC	Air Source Heat Pumps, Codes, Products and Standards	11,000
Albany Auto Managment	Electric Vehicles - Rebate, Clean Transportation	19,800
Albany Solar Solutions L.L.C.	Air Source Heat Pumps, Codes, Products and Standards	2,000
All Season Experts Heating and Cooling I	Air Source Heat Pumps, Codes, Products and Standards	7,500
All Star Energy, Inc.	EMPOWER NY, Single Family Residential	119,018
	Home Perf w Energy Star, Single Family Residential	391,038
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	850
	Single Family Residential	6,892
Alternative Carbon Energy Systems Inc	Geothermal Incentive Program, Clean Heating & Cooling	7,005
American AWS Corp.	Home Perf w Energy Star, Single Family Residential	591
	Single Family Residential	54,398
Arthur C. Pakatar	Home Perf w Energy Star, Single Family Residential	103,937
	Single Family Residential	91,877
Association for Energy Affordability, In	Home Perf w Energy Star, Single Family Residential	27,833
	Single Family Residential	13,434
Automall Imports LLC	Clean Transportation	21,000
	Electric Vehicles - Rebate, Clean Transportation	1,700
Aztech Geothermal, LLC	Air Source Heat Pumps, Codes, Products and Standards	1,000
	Campus/Technical Assistance, Clean Heating & Cooling	475
	Geothermal Incentive Program, Clean Heating & Cooling	81,240
	Home Perf w Energy Star, Single Family Residential	1,400
Babylon Car Inc	Clean Transportation	5,100
Barney Moravec, Inc	Geothermal Incentive Program, Clean Heating & Cooling	13,755
Baron Brothers Auto Group Inc	Clean Transportation	11,900
Barrett Capital Corporation	GJGNY REVOLVING LOAN FUND, Commercial	657

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Contractor	Contract Description	Total Expended Amount
Barton Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	9,100
Bay Ridge Volvo American Inc	Clean Transportation	3,400
	Electric Vehicles - Rebate, Clean Transportation	3,400
Bensol Tech LLC	Home Perf w Energy Star, Single Family Residential	137,769
	Single Family Residential	20,142
Berg Family Enterprises LLC	Clean Transportation	16,000
Best Fire	Renewable Heat NY, Clean Heating & Cooling	14,500
Betlem Service Corporation	Home Perf w Energy Star, Single Family Residential	5,238
	Single Family Residential	348
Better Energy Solutions Inc.	Home Perf w Energy Star, Single Family Residential	148,846
	Single Family Residential	141,419
BFC 3 LLC	Electric Vehicles - Rebate, Clean Transportation	15,300
Black Cherry Services Group, Inc.	Home Perf w Energy Star, Single Family Residential	7,487
BMW of Manhattan Inc.	Clean Transportation	4,900
	Electric Vehicles - Rebate, Clean Transportation	21,200
BPTC	EMPOWER NY, Single Family Residential	27,534
	Home Perf w Energy Star, Single Family Residential	16,925
	NEW YORK ENERGY STAR HOMES, New Construction	2,000
	Single Family Residential	16,904
Breathe Easy of CNY Inc.	Home Perf w Energy Star, Single Family Residential	42,760
	Single Family Residential	45,390
Bright Home Energy Solutions, LLC	Home Perf w Energy Star, Single Family Residential	76,660
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	14,698
Bruni & Campisi Energy &	Geothermal Incentive Program, Clean Heating & Cooling	15,000
	Home Perf w Energy Star, Single Family Residential	62,205
Buffalo Energy, Inc.	EMPOWER NY, Single Family Residential	324,688
	Home Perf w Energy Star, Single Family Residential	362,755
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	86,077
Buffalo Geothermal Heating	Air Source Heat Pumps, Codes, Products and Standards	125
	Campus/Technical Assistance, Clean Heating & Cooling	2,329
	Geothermal Incentive Program, Clean Heating & Cooling	211,455
	Home Perf w Energy Star, Single Family Residential	1,000
Building Efficiency Resources	Low Rise New Construction, New Construction	2,300
	NEW YORK ENERGY STAR HOMES, New Construction	11,800
Burdick Motors Inc.	Electric Vehicles - Rebate, Clean Transportation	26,400
Buzz Chew Chevrolet Cadillac Inc	Clean Transportation	9,400
	Electric Vehicles - Rebate, Clean Transportation	2,000
C&R Housing Inc.	EMPOWER NY, Single Family Residential	42,022
	Home Perf w Energy Star, Single Family Residential	19,504
	Single Family Residential	9,388
Capital Heat	Air Source Heat Pumps, Codes, Products and Standards	1,500
	Geothermal Incentive Program, Clean Heating & Cooling	5,745
Cars Unlimited of Suffolk LLC	Clean Transportation	8,200
Cayuga/Seneca Community Action Agency, I	Home Perf w Energy Star, Single Family Residential	7,386
Central Ave Nissan, Inc	Electric Vehicles - Rebate, Clean Transportation	6,000
Central Heating & Cooling, Inc.	Air Source Heat Pumps, Codes, Products and Standards	1,000
	Home Perf w Energy Star, Single Family Residential	6,943
Central Hudson Gas and Electric Corporat	GJGNY REVOLVING LOAN FUND, Single Family Residential	1,019
Central Nissan, LTD	Electric Vehicles - Rebate, Clean Transportation	14,000

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Contractor	Contract Description	Total Expended Amount
Century Motors, Inc	Clean Transportation	42,500
	Electric Vehicles - Rebate, Clean Transportation	5,100
Charles Graves Inc.	Home Perf w Energy Star, Single Family Residential	466,690
	Single Family Residential	30,108
Charles P Lamacchia Inc.	Electric Vehicles - Rebate, Clean Transportation	8,500
Charlotte Appliances	Home Perf w Energy Star, Single Family Residential	20,780
	Single Family Residential	3,052
Chautauqua Opportunities, Inc.	EMPOWER NY, Single Family Residential	20,658
	Home Perf w Energy Star, Single Family Residential	352
	Single Family Residential	352
City of Glen Cove	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
City of Lockport	Clean Energy Communities, Communities & Local Government	5,000
City Suburban Environmental Systems, Inc	Geothermal Incentive Program, Clean Heating & Cooling	32,505
Clarkson University	ENVIRONMENTAL RESEARCH, Environmental Research	3,400
		1,300
	RENEWABLE HEAT NY, Environmental Research	3,400
Clifton Park Imports, Inc.	Electric Vehicles - Rebate, Clean Transportation	12,100
CMS Mechanical, Inc.	Air Source Heat Pumps, Codes, Products and Standards	93,500
CNY Home Tech Services	Home Perf w Energy Star, Single Family Residential	19,633
	Single Family Residential	10,606
CNY Insulation Plus, Inc	Home Perf w Energy Star, Single Family Residential	60,923
Colonie Import Distributors LTD	Electric Vehicles - Rebate, Clean Transportation	33,000
Columbia Opportunities Inc.	Home Perf w Energy Star, Single Family Residential	19,661
	Single Family Residential	2,959
Commission on Economic Opportunity	Home Perf w Energy Star, Single Family Residential	15,774
	Single Family Residential	3,575
Community Action Planning Council of Jef	Home Perf w Energy Star, Single Family Residential	54,848
	Single Family Residential	2,589
Competition Imports Inc	Clean Transportation	15,000
	Electric Vehicles - Rebate, Clean Transportation	2,000
Concord Servicing Corporation	GJGNY REVOLVING LOAN FUND, Single Family Residential	482,018
Condor Mount Kisco LLC	Electric Vehicles - Rebate, Clean Transportation	13,400
Consolidated Edison Company	GJGNY REVOLVING LOAN FUND, Codes, Products and Standards	345
	GJGNY REVOLVING LOAN FUND, Single Family Residential	1,795
Cornell Cooperative Extension of Albany	Home Perf w Energy Star, Single Family Residential	20,313
	Single Family Residential	6,031
Cornerstone Energy Services	Home Perf w Energy Star, Single Family Residential	36,864
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	8,183
Cortland County Community Action Program	Home Perf w Energy Star, Single Family Residential	69,835
	Single Family Residential	14,888
Cowles Company of Northern New York, Inc	Home Perf w Energy Star, Single Family Residential	100,324
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	275
	Single Family Residential	6,911
CR Wolfe Heating Corp.	Air Source Heat Pumps, Clean Heating & Cooling	7,522
	Air Source Heat Pumps, Codes, Products and Standards	12,156
Crossfield Home Energy Solutions	Air Source Heat Pumps, Codes, Products and Standards	5,000
	EMPOWER NY, Single Family Residential	4,201
	Home Perf w Energy Star, Single Family Residential	103,272
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	4,014
	Single Family Residential	7,310

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Contractor	Contract Description	Total Expended Amount
Crown Ford Inc.	Clean Transportation	6,600
	Electric Vehicles - Rebate, Clean Transportation	1,100
Curry Motor Cars LLC	Clean Transportation	1,700
	Electric Vehicles - Rebate, Clean Transportation	32,200
Dachnowicz Automotive Inc	Electric Vehicles - Rebate, Clean Transportation	17,000
Dailey Electric Inc	Geothermal Incentive Program, Clean Heating & Cooling	113,055
Dana Motors, Ltd.	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	12,100
Dandelion Energy Inc	Campus/Technical Assistance, Codes, Products and Standards	4,941
	Geothermal Incentive Program, Clean Heating & Cooling	11,115
Dave Feldman Heating & Cooling, Inc.	Home Perf w Energy Star, Single Family Residential	16,807
	Single Family Residential	608
Dave Hayes Appliance Center Inc.	Home Perf w Energy Star, Single Family Residential	11,651
	Single Family Residential	2,312
David M Scott	EMPOWER NY, Single Family Residential	6,901
	Home Perf w Energy Star, Single Family Residential	74,835
	Single Family Residential	7,814
Dazong HVAC & R, Inc.	Air Source Heat Pumps, Codes, Products and Standards	207,500
DCH Mamaroneck LLC	Electric Vehicles - Rebate, Clean Transportation	12,100
DCH Nanuet LLC	Electric Vehicles - Rebate, Clean Transportation	20,400
DCH NY Motors LLC	Electric Vehicles - Rebate, Clean Transportation	29,700
Delaware Opportunities, Inc.	Home Perf w Energy Star, Single Family Residential	9,342
	Single Family Residential	8,020
Della Auto Group, Inc.	Electric Vehicles - Rebate, Clean Transportation	18,400
Delmar Auto Plaza	Electric Vehicles - Rebate, Clean Transportation	13,600
DeNooyer Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	19,900
Depaula Chevrolet Inc.	Electric Vehicles - Rebate, Clean Transportation	5,700
Destination 770 Auto Inc	Electric Vehicles - Rebate, Clean Transportation	12,000
DH Berry Inc.	EMPOWER NY, Single Family Residential	4,956
	Home Perf w Energy Star, Single Family Residential	20,490
	Single Family Residential	4,469
Doyle Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	6,800
Driver's Village, Inc.	Electric Vehicles - Rebate, Clean Transportation	20,900
Dutchess Cars LLC	Electric Vehicles - Rebate, Clean Transportation	11,900
Eagle Auto Mall Sales Inc	Clean Transportation	7,700
	Electric Vehicles - Rebate, Clean Transportation	2,000
Earth Sensitive Solutions, LLC	Geothermal Incentive Program, Clean Heating & Cooling	92,340
East Syracuse Sales Co Inc	Electric Vehicles - Rebate, Clean Transportation	9,700
Easthills Chevrolet Oldsmobile Inc.	Clean Transportation	15,100
	Electric Vehicles - Rebate, Clean Transportation	5,400
Eco Heating & Cooling Inc	EMPOWER NY, Single Family Residential	5,133
	Home Perf w Energy Star, Single Family Residential	43,797
	Single Family Residential	1,683
Economic Opportunity Program	Home Perf w Energy Star, Single Family Residential	17,829
	Single Family Residential	1,208
Elm Chevrolet Co Inc	Electric Vehicles - Rebate, Clean Transportation	7,400
EMCOR Services Betlem	Air Source Heat Pumps, Codes, Products and Standards	11,827
En-Tech Associates	Home Perf w Energy Star, Single Family Residential	29,531
	Single Family Residential	11,035
Energy Answers	EMPOWER NY, Single Family Residential	7,461
	Home Perf w Energy Star, Single Family Residential	39,019

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Contractor	Contract Description	Total Expended Amount
Energy Answers	Single Family Residential	79,798
Energy Efficiency Solutions NY LLC	Home Perf w Energy Star, Single Family Residential	11,584
Energy Evolution Inc	Home Perf w Energy Star, Single Family Residential	38,464
	Single Family Residential	1,374
Energy Management Solutions, LLC	Home Perf w Energy Star, Single Family Residential	108,380
	Single Family Residential	12,210
Energy Savers Inc	EMPOWER NY, Single Family Residential	11,534
	Home Perf w Energy Star, Single Family Residential	328,854
	Single Family Residential	35,984
Energy Saving Solutions, LLC	EMPOWER NY, Single Family Residential	122,863
	Home Perf w Energy Star, Single Family Residential	30,388
	Single Family Residential	23,472
Energy Solutions LLC	Home Perf w Energy Star, Single Family Residential	3,500
	Single Family Residential	3,147
Environmental Contracting LLC	Home Perf w Energy Star, Single Family Residential	32,217
	Single Family Residential	21,808
Eric Maskell	Geothermal Incentive Program, Clean Heating & Cooling	20,925
Euro and American Contracting	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	266
	Home Perf w Energy Star, Single Family Residential	92,456
	Single Family Residential	30,551
F.G. Downing Development, Inc.	Electric Vehicles - Rebate, Clean Transportation	10,800
First Colonie Company	Environmental Research, Consumer Serv & Events Managem	7,744
First Priority Bus Sales	CLEAN TRANSPORTATION, Clean Transportation	550,000
Foam It Insulation, LLC	EMPOWER NY, Single Family Residential	5,184
	Home Perf w Energy Star, Single Family Residential	188,424
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
	Single Family Residential	61,274
Foothills MotorCar Corp	Electric Vehicles - Rebate, Clean Transportation	14,300
Fort Orange Press Incorporated	>200KW PV, Corporate Marketing	2,361
	Home Perf w Energy Star, Corporate Marketing	4,020
	REV Connect, Corporate Marketing	225
Fourth Coast, Inc.	Air Source Heat Pumps, Codes, Products and Standards	1,000
Fox Imports, Inc	Electric Vehicles - Rebate, Clean Transportation	8,800
Franzoso Energy Solutions, Inc.	Home Perf w Energy Star, Single Family Residential	4,738
Fred F. Collis & Sons, Inc.	Air Source Heat Pumps, Codes, Products and Standards	1,000
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	320
	EMPOWER NY, Single Family Residential	6,031
	Home Perf w Energy Star, Single Family Residential	75,326
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	11,108
Frederick J Goris, Jr.	EMPOWER NY, Single Family Residential	4,447
	Home Perf w Energy Star, Single Family Residential	1,584
	Single Family Residential	15,413
Freeman Decorating Co	OTHER PROGRAM AREA, Consumer Serv & Events Managem	2,467
Fuccillo Ventures Inc	Clean Transportation	1,700
	Electric Vehicles - Rebate, Clean Transportation	68,800
Fulmont Community Action Agency Inc.	Home Perf w Energy Star, Single Family Residential	18,707
	Single Family Residential	8,471
G.W. Ehrhart, Inc.	Renewable Heat NY, Clean Heating & Cooling	3,000
Gallagher Electrical Services Heat & Air	Home Perf w Energy Star, Single Family Residential	137,736
	Single Family Residential	13,846

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Contractor	Contract Description	Total Expended Amount
Garber H Inc	Electric Vehicles - Rebate, Clean Transportation	11,900
Garsten Motors Inc	Clean Transportation	11,900
	Electric Vehicles - Rebate, Clean Transportation	3,400
Gary Boyd	EMPOWER NY, Single Family Residential	13,033
	Home Perf w Energy Star, Single Family Residential	15,485
	Single Family Residential	36,824
Gary Goodman	Home Perf w Energy Star, Single Family Residential	26,098
Gault Auto Mall Co. Inc.	Electric Vehicles - Rebate, Clean Transportation	26,400
Geotherm Inc.	Geothermal Incentive Program, Clean Heating & Cooling	147,375
Get Green Home Improvements LLC	Home Perf w Energy Star, Single Family Residential	9,580
Global Dwelling, LLC	Home Perf w Energy Star, Single Family Residential	163,179
	Single Family Residential	27,901
GPB 5 LLC	Clean Transportation	6,000
	Electric Vehicles - Rebate, Clean Transportation	2,000
Great Neck Ford LLC	Clean Transportation	8,800
	Electric Vehicles - Rebate, Clean Transportation	2,200
Green Audit USA, Inc.	Home Perf w Energy Star, Single Family Residential	4,718
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	706
	Single Family Residential	60,907
Green City Force	Home Perf w Energy Star, Single Family Residential	127,502
Green Home Innovations, Inc	EMPOWER NY, Single Family Residential	116,707
	Home Perf w Energy Star, Single Family Residential	30,578
	Single Family Residential	42,263
Green Home Logic, Inc.	Home Perf w Energy Star, Single Family Residential	29,364
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	71,161
H & K VanValkenburgh, Inc.	Renewable Heat NY, Clean Heating & Cooling	16,500
Habberstad Motorsport Inc.	Clean Transportation	18,200
	Electric Vehicles - Rebate, Clean Transportation	500
Halcyon Inc.	EMPOWER NY, Single Family Residential	38,148
	Home Perf w Energy Star, Single Family Residential	1,671,321
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	3,250
	Single Family Residential	154,552
Halcyon, Inc.	Geothermal Incentive Program, Clean Heating & Cooling	27,585
Haraden Motorcar Corp	Electric Vehicles - Rebate, Clean Transportation	20,400
Hawn Heating & Energy Services LLC	Air Source Heat Pumps, Codes, Products and Standards	4,059
	Home Perf w Energy Star, Single Family Residential	24,366
	Single Family Residential	498
Healey Chevrolet Inc.	Electric Vehicles - Rebate, Clean Transportation	8,000
Healthy Home Energy & Consulting, Inc.	Air Source Heat Pumps, Codes, Products and Standards	2,500
	Home Perf w Energy Star, Single Family Residential	87,903
Hearths A Fire Inc.	Renewable Heat NY, Clean Heating & Cooling	48,000
Hempstead Auto Sales LLC	Clean Transportation	8,500
	Electric Vehicles - Rebate, Clean Transportation	1,700
Hempstead Lincoln Mercury Motors Corp.	Clean Transportation	17,600
	Electric Vehicles - Rebate, Clean Transportation	3,300
Henry Interior, Inc.	Air Source Heat Pumps, Codes, Products and Standards	23,000
Home Energy Consultants Inc.	Home Perf w Energy Star, Single Family Residential	63,236
	Single Family Residential	40,448
Home Performance Professionals, Inc.	EMPOWER NY, Single Family Residential	36,106
	Home Perf w Energy Star, Single Family Residential	9,579

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Contractor	Contract Description	Total Expended Amount
Home Performance Professionals, Inc.	Single Family Residential	24,024
Home Star Energy Services, Inc.	Single Family Residential	20,182
HomeWorks Energy, Inc.	Home Perf w Energy Star, Single Family Residential	58,935
Hoselton Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	37,200
Hoselton Imports, Inc	Electric Vehicles - Rebate, Clean Transportation	38,500
Hoselton Nissan Inc	Electric Vehicles - Rebate, Clean Transportation	20,000
Hot Water Solutions Inc	Air Source Heat Pumps, Codes, Products and Standards	6,000
Iceberg Mechanical Corp	Air Source Heat Pumps, Codes, Products and Standards	6,000
Ide Pontiac Inc	Electric Vehicles - Rebate, Clean Transportation	27,200
Ideal Energy Solutions LLC	EMPOWER NY, Single Family Residential	210,823
	Home Perf w Energy Star, Single Family Residential	98,808
	Single Family Residential	153,976
IGM Holdings, Inc.	Home Perf w Energy Star, Single Family Residential	608,745
	Single Family Residential	4,689
Ingersoll Auto of Pawling LLC	Electric Vehicles - Rebate, Clean Transportation	5,700
Innovation Now, LLC	Home Perf w Energy Star, Single Family Residential	7,423
Installed Building Products	EMPOWER NY, Single Family Residential	172,405
	Home Perf w Energy Star, Single Family Residential	72,824
	Single Family Residential	23,923
Interstate Heating, Inc.	Air Source Heat Pumps, Codes, Products and Standards	7,000
Isaac Heating and Air Conditioning, Inc.	Air Source Heat Pumps, Codes, Products and Standards	1,000
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	1,257
	Home Perf w Energy Star, Single Family Residential	823,163
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	21,075
Ivy Lea Construction	EMPOWER NY, Single Family Residential	167,463
	Home Perf w Energy Star, Single Family Residential	12,728
	Single Family Residential	41,156
J and C Autoworld LLC d/b/a Advantage To	Clean Transportation	9,900
	Electric Vehicles - Rebate, Clean Transportation	7,700
J Synergy Green Inc	Home Perf w Energy Star, Single Family Residential	9,884
J.A.B & Co. Inc.	Clean Transportation	15,300
	Electric Vehicles - Rebate, Clean Transportation	1,700
James Richard Meehan III	Home Perf w Energy Star, Single Family Residential	11,099
Jardine Inc	Electric Vehicles - Rebate, Clean Transportation	29,700
JCB Specialties, Inc.	POLICY DEVELOPMENT, Consumer Serv & Events Managem	13,738
Jim Barnard Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	5,700
JM Huntington Motors LLC	Clean Transportation	13,200
	Electric Vehicles - Rebate, Clean Transportation	1,100
Joe Basil Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	25,000
John Betlem Heating & Cooling Inc	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	308
	Home Perf w Energy Star, Single Family Residential	120,415
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,640
John D. Marcella Appliances, Inc	Home Perf w Energy Star, Single Family Residential	2,781
	Single Family Residential	2,314
Joint Council of Economic Opportunity	EMPOWER NY, Single Family Residential	3,608
	Home Perf w Energy Star, Single Family Residential	13,433
	Single Family Residential	2,724
JPK Imports of Oneonta	Electric Vehicles - Rebate, Clean Transportation	6,600
JS Autoworld, LLC	Clean Transportation	9,900
	Electric Vehicles - Rebate, Clean Transportation	3,300
JS Huntington Auto Sales LLC	Clean Transportation	20,900

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Contractor	Contract Description	Total Expended Amount
JS Huntington Auto Sales LLC	Electric Vehicles - Rebate, Clean Transportation	1,100
JS Huntington Motors LLC	Clean Transportation	9,700
	Electric Vehicles - Rebate, Clean Transportation	1,700
JS North Shore Motors LLC	Clean Transportation	5,100
	Electric Vehicles - Rebate, Clean Transportation	1,700
Karp Automotive, Inc	Clean Transportation	5,100
	Electric Vehicles - Rebate, Clean Transportation	2,800
Kelleher Samets Volk	REVitalize, Low/Moderate Income	680
KI-PO Motors Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	9,100
Kinderhook Sales Inc	Electric Vehicles - Rebate, Clean Transportation	8,800
Kingston Automotive LLC	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	28,000
Knoth Heating & Mechanical	Air Source Heat Pumps, Codes, Products and Standards	500
	Home Perf w Energy Star, Single Family Residential	13,551
	Single Family Residential	936
Kool-Temp Heating & Cooling	Air Source Heat Pumps, Codes, Products and Standards	2,500
	Home Perf w Energy Star, Single Family Residential	2,400
L & S Motors Inc	Clean Transportation	35,700
	Electric Vehicles - Rebate, Clean Transportation	1,700
L2 Automotive, Inc.	Electric Vehicles - Rebate, Clean Transportation	11,400
L.B. Auto of 112 LLC	Clean Transportation	15,400
Lake Country Geothermal, Inc.	Geothermal Incentive Program, Clean Heating & Cooling	40,095
Laks Motor Inc.	Electric Vehicles - Rebate, Clean Transportation	6,800
Lash Auto Group LLC	Electric Vehicles - Rebate, Clean Transportation	12,000
LeBrun LLC	Electric Vehicles - Rebate, Clean Transportation	8,800
Levittown Ford LLC	Clean Transportation	9,900
	Electric Vehicles - Rebate, Clean Transportation	2,200
Lia Automotive, LLC	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	14,300
Lia Brewster Automotive LLC	Clean Transportation	3,400
	Electric Vehicles - Rebate, Clean Transportation	10,200
Lia Kingston LLC	Electric Vehicles - Rebate, Clean Transportation	13,600
LIC Motor Group	Clean Transportation	2,200
	Electric Vehicles - Rebate, Clean Transportation	8,800
LinLi HVAC Inc	Air Source Heat Pumps, Codes, Products and Standards	20,500
Liverpool World Corp	Electric Vehicles - Rebate, Clean Transportation	18,700
Lloyd Hamilton	Geothermal Incentive Program, Clean Heating & Cooling	6,750
Long Island Power Authority	GJGNY REVOLVING LOAN FUND, Codes, Products and Standards	880
	GJGNY REVOLVING LOAN FUND, Single Family Residential	36,732
Lotze Insulation Design, Inc.	EMPOWER NY, Single Family Residential	7,866
	Home Perf w Energy Star, Single Family Residential	171,141
	Single Family Residential	84,582
Luce, Schwab and Kase Inc	Air Source Heat Pumps, Codes, Products and Standards	15,000
Luxury Cars of Bayside Inc.	Clean Transportation	5,400
	Electric Vehicles - Rebate, Clean Transportation	5,900
Lyford Motors	Electric Vehicles - Rebate, Clean Transportation	15,400
M.J. Bradley & Associates	OTHER PROGRAM AREA, Clean Transportation	3,200
Mack Markowitz Inc	Clean Transportation	26,400
Maguire Automotive LLC	Electric Vehicles - Rebate, Clean Transportation	17,900
Maguire Chevrolet LLC	Electric Vehicles - Rebate, Clean Transportation	10,200
Maguire Honda of Ithaca	Electric Vehicles - Rebate, Clean Transportation	17,000

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Contractor	Contract Description	Total Expended Amount
Maguire Motors LLC	Electric Vehicles - Rebate, Clean Transportation	59,600
Malcarne Contracting, Inc.	Home Perf w Energy Star, Single Family Residential	18,409
Mangino Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	15,100
Mangino Value Center Inc.	Electric Vehicles - Rebate, Clean Transportation	23,100
Margert Community Corporation	Home Perf w Energy Star, Single Family Residential	45,821
Martin B Devit	Geothermal Incentive Program, Clean Heating & Cooling	34,035
Massapequa Motors LLC	Clean Transportation	17,600
	Electric Vehicles - Rebate, Clean Transportation	2,200
Meier Supply Company	Air Source Heat Pumps, Clean Heating & Cooling	3,900
	Air Source Heat Pumps, Codes, Products and Standards	35,845
Mercedes-Benz Manhattan, Inc.	Clean Transportation	5,100
	Electric Vehicles - Rebate, Clean Transportation	31,600
Metro NY Insulation LLC	Home Perf w Energy Star, Single Family Residential	73,806
	Single Family Residential	18,623
Michael B Kearney	EMPOWER NY, Single Family Residential	4,681
	Single Family Residential	425
Michael R. Boccacino Inc.	Home Perf w Energy Star, Single Family Residential	7,352
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Mike Barneys Super Sports Inc	Electric Vehicles - Rebate, Clean Transportation	6,000
Mike Basil Motors Inc.	Electric Vehicles - Rebate, Clean Transportation	15,400
Millennium Super Store, LLC	Clean Transportation	7,700
	Electric Vehicles - Rebate, Clean Transportation	1,100
Miller Motor Car Corp.	Electric Vehicles - Rebate, Clean Transportation	5,100
MINISPLITCOMFORT CORP	Air Source Heat Pumps, Codes, Products and Standards	21,000
Mohawk Valley Community Action Agency	EMPOWER NY, Single Family Residential	4,477
	Home Perf w Energy Star, Single Family Residential	61,959
	Single Family Residential	7,050
Mondial Automotive, Inc.	CLEAN TRANSPORTATION, Clean Transportation	419,665
Morehead Auto Sales INC	Electric Vehicles - Rebate, Clean Transportation	6,800
Mount Kisco, Village of	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
Mt Kisco Import Cars Ltd	Clean Transportation	1,700
	Electric Vehicles - Rebate, Clean Transportation	5,100
Mullarney's Garden Center	Renewable Heat NY, Clean Heating & Cooling	28,000
Neighborhood Housing Services	Home Perf w Energy Star, Single Family Residential	94,384
	Single Family Residential	7,953
Neighborhood Housing Services (N.H.S) of	EMPOWER NY, Single Family Residential	15,175
	Home Perf w Energy Star, Single Family Residential	1,264
New Flyer of America, Inc.	CLEAN TRANSPORTATION, Clean Transportation	900,000
New York Conservation Services Corp	Home Perf w Energy Star, Single Family Residential	1,394,170
	Single Family Residential	9,553
NEW YORK HOME APPLIANCES CORP	Air Source Heat Pumps, Codes, Products and Standards	276,500
New York Homeowners Construction Co., LL	Home Perf w Energy Star, Single Family Residential	35,405
	Single Family Residential	1,658
Newins Bay Shore Ford Inc	Clean Transportation	8,800
	Electric Vehicles - Rebate, Clean Transportation	1,100
Nispen Building Performance, Inc.	Home Perf w Energy Star, Single Family Residential	60,688
	Renewable Heat NY, Clean Heating & Cooling	7,000
	Single Family Residential	44,144
North Country Windows	Home Perf w Energy Star, Single Family Residential	5,293
North East Underlayments LLC	Home Perf w Energy Star, Single Family Residential	9,011
North Shore Chevrolet of Smithtown	Clean Transportation	10,800

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Contractor	Contract Description	Total Expended Amount
Northeast Home Improvement, LLC	Home Perf w Energy Star, Single Family Residential	65,741
	Single Family Residential	37,593
Northeastern Fireplace and Design	Renewable Heat NY, Clean Heating & Cooling	10,000
Northstar Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	6,800
NP Environmental LLC	Geothermal Incentive Program, Clean Heating & Cooling	64,350
NS Auto Sales Inc.	Clean Transportation	13,600
	Electric Vehicles - Rebate, Clean Transportation	3,400
Nunda Farm Service Inc.	Renewable Heat NY, Clean Heating & Cooling	14,500
Nye Automotive Group, Inc	Electric Vehicles - Rebate, Clean Transportation	9,900
NYLSI, INC	Clean Transportation	23,100
	Electric Vehicles - Rebate, Clean Transportation	1,100
NYS Energy Audits, Inc.	EMPOWER NY, Single Family Residential	5,460
	Home Perf w Energy Star, Single Family Residential	400,983
	Single Family Residential	30,025
O'Connor Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	41,400
ODA Community Development Corp.	Home Perf w Energy Star, Single Family Residential	35,282
Olum's of Binghamton, Inc.	Home Perf w Energy Star, Single Family Residential	79,715
	Single Family Residential	17,665
Oneida, City of	Clean Energy Communities, Communities & Local Government	5,000
Opportunities for Chenango, Inc.	EMPOWER NY, Single Family Residential	276
	Home Perf w Energy Star, Single Family Residential	16,083
	Single Family Residential	5,990
Opportunities for Otsego, Inc.	EMPOWER NY, Single Family Residential	12,147
	Home Perf w Energy Star, Single Family Residential	54,601
	Single Family Residential	14,807
Paddock Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	15,300
PAG Greenwich B1, LLC	Electric Vehicles - Rebate, Clean Transportation	13,500
Pamal Broadcasting Ltd	POLICY DEVELOPMENT, Consumer Serv & Events Managem	650
Pana Nissan, LLC	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	46,000
Paragon Motors of Woodside Inc	Clean Transportation	6,800
	Electric Vehicles - Rebate, Clean Transportation	32,300
Parkway II LLC	Electric Vehicles - Rebate, Clean Transportation	9,900
Patchogue 112 Motors LLC	Clean Transportation	8,800
Pathstone Corporation	Home Perf w Energy Star, Single Family Residential	3,385
PEG	Low Rise New Construction, New Construction	17,900
Penns Worldwide Auto Superstore LTD	Clean Transportation	19,800
	Electric Vehicles - Rebate, Clean Transportation	6,600
People's Equal Action & Community Effort	Home Perf w Energy Star, Single Family Residential	55,034
	Single Family Residential	6,144
Performance Systems Development, Inc.	Low Rise New Construction, New Construction	15,300
	NEW YORK ENERGY STAR HOMES, New Construction	9,000
Phoenix Geothermal Services	Campus/Technical Assistance, Clean Heating & Cooling	19,876
Phoenix Mechanical	Air Source Heat Pumps, Codes, Products and Standards	6,000
	Geothermal Incentive Program, Clean Heating & Cooling	20,850
	Home Perf w Energy Star, Single Family Residential	14,670
PJDT LLC	Electric Vehicles - Rebate, Clean Transportation	9,900
Plaza Automotive, Ltd.	Clean Transportation	22,100
	Electric Vehicles - Rebate, Clean Transportation	22,100
Port Chester, Village of	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
Prestige Automobiles Inc.	Electric Vehicles - Rebate, Clean Transportation	40,700

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Contractor	Contract Description	Total Expended Amount
Prime Time Energy Services, Inc.	EMPOWER NY, Single Family Residential	962,738
	Single Family Residential	92,576
Pro Action of Steuben & Yates, Inc.	EMPOWER NY, Single Family Residential	4,923
	Home Perf w Energy Star, Single Family Residential	27,109
	Single Family Residential	25,238
Pro-Services Plumbing & Heating Inc	Air Source Heat Pumps, Codes, Products and Standards	11,500
Rallye Westbury, LLC	Clean Transportation	31,900
	Electric Vehicles - Rebate, Clean Transportation	5,900
Ralph Automotive Inc.	Electric Vehicles - Rebate, Clean Transportation	11,900
Ramp Motors Inc	Clean Transportation	11,600
Ray Catena of Westchester, LLC	Clean Transportation	1,700
	Electric Vehicles - Rebate, Clean Transportation	13,300
Regional Economic Community Action	Home Perf w Energy Star, Single Family Residential	13,874
Rensselaer Honda	Electric Vehicles - Rebate, Clean Transportation	6,800
Reynolds Group Enterprises, Inc.	Renewable Heat NY, Clean Heating & Cooling	6,000
RHM Inc.	Home Perf w Energy Star, Single Family Residential	17,629
	Single Family Residential	6,740
Richair Mechanical Inc.	Air Source Heat Pumps, Codes, Products and Standards	15,000
Rivera Auto Group Inc	Electric Vehicles - Rebate, Clean Transportation	20,900
Riverhead Motors, Inc.	Clean Transportation	6,600
RJ Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	38,600
Robert Chevrolet Inc	Clean Transportation	64,800
Rodney Lind	EMPOWER NY, Single Family Residential	8,801
	Home Perf w Energy Star, Single Family Residential	42,745
	Single Family Residential	17,572
Romano Toyota	Electric Vehicles - Rebate, Clean Transportation	40,700
Romeo Chevrolet Buick GMC	Electric Vehicles - Rebate, Clean Transportation	23,700
Ruge's Automotive, Inc.	Electric Vehicles - Rebate, Clean Transportation	5,700
Ryan Plumbing Heating Air Conditioning	Home Perf w Energy Star, Single Family Residential	23,923
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	551
Rycor LLC	Air Source Heat Pumps, Codes, Products and Standards	233,282
S & H Associates LLC	Electric Vehicles - Rebate, Clean Transportation	17,400
SANFILIPPO SOLUTIONS INC.	EMPOWER NY, Single Family Residential	26,299
	Home Perf w Energy Star, Single Family Residential	38,001
	Single Family Residential	30,160
Saratoga Imports Inc	Electric Vehicles - Rebate, Clean Transportation	14,300
Saratoga Motors Inc.	Electric Vehicles - Rebate, Clean Transportation	11,900
Sassville LLC	Clean Transportation	12,100
SC Auto Corp	Clean Transportation	68,200
	Electric Vehicles - Rebate, Clean Transportation	5,500
Seneca County Weatherization	Home Perf w Energy Star, Single Family Residential	24,942
	Single Family Residential	9,740
Sharp's Bulk Food Store	Renewable Heat NY, Clean Heating & Cooling	93,363
Sigma Tremblay, LLC	Home Perf w Energy Star, Single Family Residential	30,816
Simply Home Performance	EMPOWER NY, Single Family Residential	7,392
	Home Perf w Energy Star, Single Family Residential	198,664
	Single Family Residential	65,175
Sinnott's Plumbing & Heating, LLC	Air Source Heat Pumps, Codes, Products and Standards	6,500
Snug Planet, LLC	Air Source Heat Pumps, Codes, Products and Standards	3,000
	Home Perf w Energy Star, Single Family Residential	49,146

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Contractor	Contract Description	Total Expended Amount
Snyder Manufacturing, Inc	Geothermal Incentive Program, Clean Heating & Cooling	22,335
Solar Energy Haus, Inc.	Single Family Residential	143,175
South Shore Motors Corp	Clean Transportation	20,900
Stallmer & Sun Energy Efficiency Special	Home Perf w Energy Star, Single Family Residential	4,919
	Single Family Residential	11,864
Standard Insulating Company	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	524
	EMPOWER NY, Single Family Residential	68,863
	Home Perf w Energy Star, Single Family Residential	917,667
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,745
	Single Family Residential	74,635
Star Nissan Inc	Clean Transportation	4,400
	Electric Vehicles - Rebate, Clean Transportation	6,600
Stateside Auto Sales Inc.	Electric Vehicles - Rebate, Clean Transportation	8,800
Steet Ponte Chevrolet, Inc	Electric Vehicles - Rebate, Clean Transportation	5,400
Steet Ponte Inc	Electric Vehicles - Rebate, Clean Transportation	9,900
Steven Winter Associates, Inc.	NEW YORK ENERGY STAR HOMES, New Construction	2,200
Stewart Title Insurance Company	GJGNY REVOLVING LOAN FUND, Commercial	255
	GJGNY REVOLVING LOAN FUND, Single Family Residential	36,263
STNO, LLC	Clean Transportation	28,600
Stoler Gold Coast	Clean Transportation	6,100
Stoler of Westbury	Clean Transportation	15,400
	Electric Vehicles - Rebate, Clean Transportation	4,400
Sunrise Automall LLC	Clean Transportation	52,700
Sunset Park Redevelopment Comm	Home Perf w Energy Star, Single Family Residential	18,748
Superior Energy Innovations, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	534
	EMPOWER NY, Single Family Residential	138,920
	Home Perf w Energy Star, Single Family Residential	80,416
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,400
	Single Family Residential	101,353
Superior Insulation Co., LLC	EMPOWER NY, Single Family Residential	4,224
	Home Perf w Energy Star, Single Family Residential	260,264
	Single Family Residential	90,930
Sustainable Comfort, Inc	Low Rise New Construction, New Construction	20,300
	NEW YORK ENERGY STAR HOMES, New Construction	6,000
T.J.Nik Corp	Clean Transportation	5,600
	Electric Vehicles - Rebate, Clean Transportation	1,100
TAG Mechanical Systems, Inc.	Home Perf w Energy Star, Single Family Residential	10,707
	Single Family Residential	10,055
Taylor Group LTD	Code to Zero, Consumer Serv & Events Managem	419
	Combined Heat and Power, Consumer Serv & Events Managem	419
	Environmental Research, Consumer Serv & Events Managem	419
	Geothermal Incentive Program, Consumer Serv & Events Managem	419
	Multifam New Construction, Consumer Serv & Events Managem	837
	Multifam Performance Pgm, Consumer Serv & Events Managem	419
	Rmve Barriers Dist Enrgy Storg, Consumer Serv & Events Managem	419
	Rmve Barriers Dist Enrgy Storg, Energy Storage	1,090
Taylor Heating Inc.	Air Source Heat Pumps, Codes, Products and Standards	500
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	500
	EMPOWER NY, Single Family Residential	4,134
	Home Perf w Energy Star, Single Family Residential	122,461
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,994

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Contractor	Contract Description	Total Expended Amount
Taylor Heating Inc.	Single Family Residential	3,837
TBS Acquisition Corp	Clean Transportation	12,800
	Electric Vehicles - Rebate, Clean Transportation	1,700
Tesla Motors New York LLC	Clean Transportation	192,500
	Electric Vehicles - Rebate, Clean Transportation	548,500
The Bicknell Corporation	Renewable Heat NY, Clean Heating & Cooling	8,000
The Business Council of NYS, Inc.	POLICY DEVELOPMENT, Consumer Serv & Events Managem	1,000
The Dorschel Group	Electric Vehicles - Rebate, Clean Transportation	44,500
		22,900
The Energy Doctors	Home Perf w Energy Star, Single Family Residential	20,017
	Single Family Residential	7,404
The Insulation Man LLC	EMPOWER NY, Single Family Residential	12,714
	Home Perf w Energy Star, Single Family Residential	92,479
	Single Family Residential	27,680
The Radiant Store	Air Source Heat Pumps, Codes, Products and Standards	4,500
	Home Perf w Energy Star, Single Family Residential	4,706
Three Peaks Energy Corp.	Home Perf w Energy Star, Single Family Residential	39,687
	Single Family Residential	13,787
Tioga Opportunities Inc.	EMPOWER NY, Single Family Residential	7,551
	Home Perf w Energy Star, Single Family Residential	96,744
	Single Family Residential	81,339
TLL Motors Inc	Clean Transportation	60,500
	Electric Vehicles - Rebate, Clean Transportation	2,200
Tompkins Community Action	Home Perf w Energy Star, Single Family Residential	33,408
	Single Family Residential	19,311
Total Comfort Heating and Air Conditioni	Home Perf w Energy Star, Single Family Residential	92,438
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	456
	Single Family Residential	4,049
Town of Brighton	Clean Energy Communities, Communities & Local Government	5,000
Town of Geneva	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
Town of Granby	Clean Energy Communities, Communities & Local Government	5,000
Town of Lansing	Clean Energy Communities, Communities & Local Government	5,000
Town of Oswego	Clean Energy Communities, Communities & Local Government	5,000
Town of Rushford	Clean Energy Communities, Communities & Local Government	5,000
Town of Stockton	Clean Energy Communities, Communities & Local Government	5,000
Town of Warwick	Clean Energy Communities, Communities & Local Government	5,000
Triple H Contracting, Inc.	Home Perf w Energy Star, Single Family Residential	7,350
TRS Heating and Air Conditioning Co., In	EMPOWER NY, Single Family Residential	16,130
	Home Perf w Energy Star, Single Family Residential	16,098
	Single Family Residential	23,935
True Building Performance LLC	Home Perf w Energy Star, Single Family Residential	96,007
	Single Family Residential	57,871
True Energy Solutions	Home Perf w Energy Star, Single Family Residential	79,359
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	16,225
TT of Freeport Inc	Clean Transportation	8,300
	Electric Vehicles - Rebate, Clean Transportation	1,700
Ulster Construction Co. Inc.	Home Perf w Energy Star, Single Family Residential	9,423
	Single Family Residential	16,232
Ulster County Community Action, Inc.	Home Perf w Energy Star, Single Family Residential	107,406
	Single Family Residential	13,458

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2018 through 9/1/2018

Contractor	Contract Description	Total Expended Amount
Upstate Holding Group, LLC	Renewable Heat NY, Clean Heating & Cooling	7,500
Upstate Imports Inc	Electric Vehicles - Rebate, Clean Transportation	13,200
Upstate Spray Foam Insulation, LLC	Home Perf w Energy Star, Single Family Residential	91,700
	Single Family Residential	4,689
Van Bortel Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	17,900
Van Hee Mechanical	Geothermal Incentive Program, Clean Heating & Cooling	53,190
Vanderstyne Motor Sales Inc	Electric Vehicles - Rebate, Clean Transportation	13,200
Victor Auto Group LLC	Electric Vehicles - Rebate, Clean Transportation	7,700
Village of Cayuga Hts	Clean Energy Communities, Communities & Local Government	5,000
Village of Celoron	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
Village of Cleveland	Clean Energy Communities, Communities & Local Government	5,000
Village of East Syracuse	Clean Energy Communities, Communities & Local Government	5,000
Village of Geneseo	Clean Energy Communities, Communities & Local Government	5,000
Village of Great Neck Plaza	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
Village of Hannibal	Clean Energy Communities, Communities & Local Government	5,000
Village of Homer	Clean Energy Communities, Communities & Local Government	5,000
Village of Roslyn	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
Village of Sherman	Clean Energy Communities, Communities & Local Government	5,000
Village of Silvercreek	Clean Energy Communities, Communities & Local Government	5,000
Village of Victor	Clean Energy Communities, Communities & Local Government	5,000
Village of Wappingers Falls	Clean Energy Communities, Communities & Local Government	5,000
Waite Motor Sales Inc	Electric Vehicles - Rebate, Clean Transportation	5,500
Warren/Hamilton Counties ACEO	Home Perf w Energy Star, Single Family Residential	27,068
	Single Family Residential	394
WaterFurnace International, Inc.	Campus/Technical Assistance, Clean Heating & Cooling	5,855
Wayne County Action Program	EMPOWER NY, Single Family Residential	1,308
	Home Perf w Energy Star, Single Family Residential	200,920
	Single Family Residential	9,320
West Herr Honda	Electric Vehicles - Rebate, Clean Transportation	8,500
West Herr Imports LLC	Electric Vehicles - Rebate, Clean Transportation	26,400
Western New York Exteriors, LLC	EMPOWER NY, Single Family Residential	4,774
	Home Perf w Energy Star, Single Family Residential	7,778
Weston Bros.	Air Source Heat Pumps, Codes, Products and Standards	59,010
WHAC LLC	Electric Vehicles - Rebate, Clean Transportation	9,100
Wheatfield Village Motors	Electric Vehicles - Rebate, Clean Transportation	10,200
Whiteman Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	5,400
Williams Auto Plaza IV, LLC	Electric Vehicles - Rebate, Clean Transportation	10,200
Williams Toyota Elmira	Electric Vehicles - Rebate, Clean Transportation	11,000
Willie Oxendine	Home Perf w Energy Star, Single Family Residential	39,210
	Single Family Residential	10,257
Wisconsin Energy Conservation Corp	>200KW PV, NY-Sun	38,790
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	16,219
	GJGNY REVOLVING LOAN FUND, Single Family Residential	149,890
	Home Perf w Energy Star, RES-Multifam(no longer in use)	44,460
	Home Perf w Energy Star, Single Family Residential	3,305,703
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	15,340
	Solar Thermal, Clean Heating & Cooling	11,940
Wise Home Energy, LLC	EMPOWER NY, Single Family Residential	418
	Home Perf w Energy Star, Single Family Residential	375,741
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
	Single Family Residential	33,949

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2018 through 9/1/2018

Contractor	Contract Description	Total Expended Amount
WK Mechanical	Air Source Heat Pumps, Codes, Products and Standards	13,655
Wood 'N Things	Renewable Heat NY, Clean Heating & Cooling	10,000
Woodbridge Construction Inc.	Home Perf w Energy Star, Single Family Residential	37,220
	Single Family Residential	3,449
WS Healey Chevrolet Buick Inc.	Electric Vehicles - Rebate, Clean Transportation	11,400
Yonkers Motors Corp	Electric Vehicles - Rebate, Clean Transportation	39,100
Zenith Sales of Indiana	CLEAN TRANSPORTATION, Clean Transportation	444,654
Zenner and Ritter Inc.	Air Source Heat Pumps, Codes, Products and Standards	2,500
	EMPOWER NY, Single Family Residential	41,319
	Home Perf w Energy Star, Single Family Residential	32,648
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	519
Zerodraft of CNY - Syracuse	EMPOWER NY, Single Family Residential	3,810
	Home Perf w Energy Star, Single Family Residential	258,441
	Single Family Residential	34,826
Grand Total		33,820,922

NYSERDA

Public Authority Law Report

April 1, 2018 to September 30, 2018

Section Break

Contracts Executed

Period 10/1/2017 through 3/31/2018

Contractor	Date Encumbered	Contract Description	Total Contract Amount
1st Light Energy, Inc.	1/5/2018	<200KW PV, NY Sun	34,360
	3/1/2018	<200KW PV, NY Sun	464
	3/5/2018	<200KW PV, NY Sun	56,200
3M Company	11/6/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	647
32-42 Broadway Owner LLC	10/12/2017	Flexible Tech Assistance, FlexTech Program - PON 1746	40,498
40 Tiemann Place H.D.F.C.	10/3/2017	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	4,200
205 Wolf Holdings, LLC	1/19/2018	NYSERDA ADMINISTRATION, 2018 NYSERDA All Staff Meeti..	3,100
	2/14/2018	NYSERDA ADMINISTRATION, 2018 NYSERDA All Staff Meeti..	3,400
323T LLC	11/29/2017	Low Rise New Construction, New Construction	26,600
675 Ownership, LLC	11/15/2017	Flexible Tech Assistance, FlexTech Program	17,500
1258 Middle Country Realty LLC	3/5/2018	FUEL NY, PGI00073 - 1258 Middle Country	3,190
Abt Associates Inc.	10/20/2017	Combined Heat and Power, Flex Energy Tech Analysis 2	149,905
Abundant Solar Power Inc.	1/10/2018	>200KW PV, NY Sun	193,007
Acacia Real Estate Development Inc.	2/20/2018	Multifam New Construction, MFNCP - Sendero Verde - C	300,000
		Multifam New Construction, MFNCP- Sendero Verde - B	300,000
		Multifam New Construction, New Construction	300,000
Accord Power, Inc.	10/27/2017	>200KW PV, NY Sun	231,602
	11/16/2017	<200KW PV, NY Sun	18,900
ACEEE	3/13/2018	Subscription/Data Access, Market Insights	50,000
Acelerex, Inc.	10/2/2017	CLEAN TRANSPORTATION, Energy Storage Study	200,000
Acorda Therapeutics Inc	1/3/2018	Industrial Process Effic, Industrial Process Efficiency	9,280
Active Solar Development, LLC	10/2/2017	<200KW PV, NY Sun	73,750
	10/3/2017	<200KW PV, NY-Sun	65,000
	12/14/2017	<200KW PV, NY Sun	120,220
	12/18/2017	<200KW PV, NY Sun	13,888
	1/2/2018	<200KW PV, NY Sun	65,000
	2/26/2018	<200KW PV, NY Sun	202,320
	3/5/2018	<200KW PV, NY Sun	40,672
Adam C. Boese	10/3/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,020
	10/11/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,970
	10/13/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,240
	10/16/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/17/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/26/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	17,030
	11/3/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	20,965
	11/30/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	53,560
	12/1/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	12/13/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
	12/15/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
	12/26/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	4,000
	1/5/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,355
	1/8/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	11,500
	1/9/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	12,585
	1/18/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	8,500
	1/26/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	22,020
	2/8/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	25,000
	2/9/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	61,770
	2/12/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	17,500
	2/15/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	13,130
	2/20/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/27/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	9,770
	2/28/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	8,030
	3/5/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,385
	3/8/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,320
	3/12/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	20,000
	3/15/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000

Contracts Executed

Period 10/1/2017 through 3/31/2018

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Adam C. Boese	3/16/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/20/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	50,000
	3/22/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	4,170
	3/23/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	12,500
	3/28/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
	3/30/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
Adirondack North Country Association	12/5/2017	CLEANER GREENER COMMUNITIES, Green Jobs Green New..	5,500
		GJGNY REVOLVING LOAN FUND, Green Jobs Green New Yo..	360
Aegis Energy Services Inc.	1/10/2018	Combined Heat and Power, CHPA - The Promenade	162,000
	1/23/2018	Combined Heat and Power, CHPA - Cannon Heights	162,000
	1/31/2018	Combined Heat and Power, CHPA - 63 Wall Street	459,000
		Combined Heat and Power, CHPA - 180 West End	315,000
AES Greece Solar, LLC	1/5/2018	>200KW PV, NY-Sun C&I	125,588
AES Monroe Solar A, LLC	1/5/2018	>200KW PV, NY Sun C/I	900,151
AES Rochester Solar, LLC	11/17/2017	>200KW PV, NY-Sun C&I	811,064
Affordable Housing Partnership	10/3/2017	Community Energy Engagement, CEEP Capital Region (AHP)	525,000
Akoustis, Inc.	10/24/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	170,000
	11/6/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	98,039
Akwesasne Housing Authority	12/5/2017	NY-SUN, Affordable Solar Akwesasne	190,000
Albany County Dept. of General Services	3/7/2018	Clean Energy Communities, Albany County	250,000
Albany Housing Authority	1/10/2018	NEW YORK ENERGY STAR HOMES, New Construction	2,500
Albany Solar Solutions L.L.C.	2/28/2018	<200KW PV, NY-Sun	5,880
	3/7/2018	<200KW PV, NY Sun	7,704
Albert Einstein College of Medicine Inc.	3/20/2018	Flexible Tech Assistance, FlexTech Program - PON1746	85,980
All HVAC Service Co. Inc	1/24/2018	Commercial Real Estate Ten, Bright NRG-511 Benedict Ave-CT	36,982
	2/12/2018	Commercial Real Estate Ten, Bright Energy-1 Odell Ave-CT	5,000
Allegis Group Holdings Inc	2/9/2018	New Construction- Commercial, Staff Augmentation Services	26,650
Alliance Energy LLC	1/3/2018	FUEL NY, PGI00025 - Alliance Energy LLC	18,182
	2/6/2018	FUEL NY, PGI00153 - Alliance Energy LLC	27,507
Alliance to Save Energy	2/28/2018	Prof & Expert Engagement, 2018 membership dues	25,000
	3/1/2018	Electric Vehicles - Innovation, Clean Transportation	10,000
Altanova LLC	1/24/2018	Commercial Real Estate Ten, Altanova-1095 AoA-CT	25,003
	3/20/2018	Flexible Tech Assistance, FlexTech Consultant Selection	25,000
Alternative Power Solutions of NY, LLC	10/2/2017	<200KW PV, NY Sun	11,832
	12/20/2017	<200KW PV, NY Sun	5,628
	2/26/2018	<200KW PV, NY Sun	7,980
	3/12/2018	<200KW PV, NY Sun	5,555
	3/26/2018	<200KW PV, NY Sun	6,038
Amergy Solar Inc.	10/27/2017	<200KW PV, NY Sun	5,079
American Council for an Energy Efficient	3/6/2018	Prof & Expert Engagement, 2018 ACEEE Sponsorship	10,000
American Energy Care, Inc.	10/2/2017	<200KW PV, NY-Sun	8,336
	10/3/2017	<200KW PV, NY-Sun	5,312
	10/30/2017	<200KW PV, NY-Sun	5,200
	12/7/2017	<200KW PV, NY Sun	5,583
	1/22/2018	<200KW PV, NY-Sun	5,180
	3/5/2018	<200KW PV, NY-Sun	13,031
American Meteorological Society	3/12/2018	ENERGY ANALYSIS, NCA Support	254,000
American Packaging Corp.	11/3/2017	Industrial Process Effic, Industrial Process Efficiency	81,984
American Solar Partners, LLC	2/27/2018	<200KW PV, NY Sun	20,015
American Wind Energy Association	12/20/2017	Off-Shore Wind Pre-Dev Act, 2017 sponsorship	15,000
Analysis Group, Inc.	11/29/2017	Mkt Char: Tech Assist, Market Functions of DSP	40,000
	3/28/2018	Mkt Char: Tech Assist, Market Functions of DSP	10,000
Andrew James Naukam	11/29/2017	M-Corps, Manufacturing Corps (M-Corps)	49,000
Antares Group, Inc.	10/17/2017	Industrial Process Effic, Technical Review and Program S	12,447
	10/26/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	2,739
	1/5/2018	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	14,407

Contracts Executed

Period 10/1/2017 through 3/31/2018

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Apex Solar Power LLC	10/3/2017	<200KW PV, NY Sun	5,880
		<200KW PV, NY-Sun	5,920
	10/4/2017	<200KW PV, NY Sun	6,195
	10/10/2017	<200KW PV, NY Sun	8,400
	10/12/2017	<200KW PV, NY-Sun	5,984
	10/17/2017	<200KW PV, NY-Sun	5,628
	11/7/2017	<200KW PV, NY Sun	5,096
	11/20/2017	<200KW PV, NY-Sun	5,236
	11/28/2017	<200KW PV, NY Sun	1,456
	12/5/2017	<200KW PV, NY Sun	13,086
	12/6/2017	<200KW PV, NY-Sun	5,502
	12/12/2017	<200KW PV, NY-Sun	12,432
	12/13/2017	<200KW PV, NY Sun	8,232
	12/19/2017	<200KW PV, NY-Sun	6,510
	12/26/2017	<200KW PV, NY Sun	5,292
	1/22/2018	<200KW PV, NY Sun	371
	1/25/2018	<200KW PV, NY Sun	7,056
	2/23/2018	<200KW PV, NY Sun	1,443
APX Inc.	12/19/2017	REC:CES REC System Dev Costs, NYGATS	200,000
		ZEC:CES ZEC System Dev Costs, NYGATS	100,000
Aquinas Institute, Inc.	10/31/2017	Commercial Imp Assist, CIAP002 - Aquinas Institute	112,800
Arcadis of New York, Inc.	10/16/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/28/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
Arcadis U.S., Inc.	11/3/2017	Industrial Process Effic, Tech Review & Program Staff	48,175
	12/6/2017	Solar Thermal, Tech Review & Program Staff	10,991
	1/5/2018	EXISTING FACILITIES, Tech Review & Program Staff	101,500
		Real Time Enrgy Management, Tech Review & Program Staff	43,500
	1/8/2018	Commercial Imp Assist, Tech Review & Program Staff	46,500
		EXISTING FACILITIES, Tech Review & Program Staff	108,500
	3/5/2018	EXISTING FACILITIES, Tech Review & Program Staff	41,748
	3/22/2018	OTHER PROGRAM AREA, Tech Review & Program Staff	53,599
	3/23/2018	OTHER PROGRAM AREA, Tech Review & Program Staff	450,136
Arctic Air Mechanical Corp	12/4/2017	NYSERDA ADMINISTRATION, HVAC for NY Office	16,800
Arnot Ogden Medical Center	10/4/2017	EXISTING FACILITIES, EFP2482 - Arnot Health	378,275
Astrum Solar, Inc.	11/28/2017	<200KW PV, NY Sun	2,533
Atelier Ten	12/19/2017	Commercial New Construc, ATEN - EMP	18,921
AWS Truepower	11/10/2017	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	48,540
Bard College	12/19/2017	REV Campus Challenge, RM11 - Bard College	64,000
BASF Colors and Effects USA, LLC	3/19/2018	Industrial Process Effic, Industrial Process Efficiency	30,675
Belle Apartments Housing Developmen..	3/20/2018	Multifam Performance Pgm, Multifamily	14,700
Bergmann Associates	11/1/2017	Industrial Process Effic, Tech Review_Support_Umbrella	10,500
	11/3/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	11/9/2017	Flexible Tech Assistance, FlexTech Consultant Selection	6,010
	12/15/2017	Industrial Process Effic, Tech Review_Support_Umbrella	2,080
	1/5/2018	Flexible Tech Assistance, Tech Review_Support_Umbrella	25,600
		FLEXIBLE TECHNICAL ASSISTANCE, Tech Review_Support_..	33,600
		Industrial Process Effic, Tech Review_Support_Umbrella	22,400
		INDUSTRIAL PROCESS EFFICIENCY, Tech Review_Support_..	78,400
	1/9/2018	Industrial Process Effic, Tech Review_Support_Umbrella	4,750
	1/17/2018	Industrial Process Effic, Tech Review_Support_Umbrella	5,450
	1/25/2018	Renewable Heat NY, Tech Review_Support_Umbrella	6,200
	3/8/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
Best Energy Power	10/17/2017	<200KW PV, NY Sun	14,330
	12/12/2017	<200KW PV, NY Sun	602,089
	12/14/2017	<200KW PV, NY Sun	63,466
	12/18/2017	<200KW PV, NY Sun	61,480

Contracts Executed

Period 10/1/2017 through 3/31/2018

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Best Energy Power	2/2/2018	<200KW PV, NY Sun	94
Binghamton Regional	10/26/2017	NY-SUN, Affordable Solar Binghamton	81,600
	3/6/2018	REVitalize, RFP 3584 Revitalize	65,000
	3/22/2018	COMMUNITY SOLAR, Solarize 2018	25,000
BioDiversity Research Institute	11/13/2017	Off-Shore Wind Master Plan, BRI: TWO umbrella agreement	29,830
	2/14/2018	Environmental Research, BRI: TWO umbrella agreement	157,159
BioEnergySP, Inc.	10/30/2017	OTHER PROGRAM AREA, Technology to Market	250,000
Bizodo Inc	3/13/2018	NYSERDA ADMINISTRATION, Seamless Docs Licensing 18-19	27,450
Black Cherry Services Group, Inc.	3/5/2018	<200KW PV, NY Sun	6,072
Board of Managers of Cipriani Club	1/5/2018	COMBINED HEAT AND POWER, CHPA - 55 Wall Street	1,393,961
Bolla EM Realty LLC	3/15/2018	FUEL NY, PGI00093 - Bolla EM Realty LLC	31,803
Bolla Operating Corp.	11/17/2017	FUEL NY, PGI00083 - Bolla Operating Cor	19,484
	11/28/2017	FUEL NY, PGI00095 - Bolla Operating Cor	27,947
Bolla Operating LI Corp.	11/16/2017	FUEL NY, PGI00016 - Bolla Operating LI	13,319
	1/9/2018	FUEL NY, PGI00060 - Bolla Operating LI	6,948
	1/24/2018	FUEL NY, PGI00085 - Bolla Operating LI	6,799
	3/15/2018	FUEL NY, PGI00143 - Bolla Operating LI	21,684
	3/28/2018	FUEL NY, PGI00033 - Bolla Operating LI	14,027
		FUEL NY, PGI00152 - Bolla Operating LI	5,632
Bond, Schoeneck & King, PLLC	10/3/2017	CLEAN TRANSPORTATION, RFP 3300 Outside Counsel Servi	5,000
	10/23/2017	CLEAN TRANSPORTATION, RFP 3300 Outside Counsel Servi	15,000
	1/26/2018	CLEAN TRANSPORTATION, RFP 3300 Outside Counsel Servi	8,428
	3/14/2018	NYSERDA ADMINISTRATION, RFP 3300 Outside Counsel Servi	9,425
Booz Allen Hamilton, Inc.	2/7/2018	High Performing Grid, PON 3397 CAT D	750,000
Borrego Solar Systems, Inc.	10/6/2017	>200KW PV, NY Sun	545,765
	10/12/2017	>200KW PV, NY Sun	545,765
Brattle Group Inc.	10/27/2017	REC:CES REC Pgm Non-Rec Exp, Large Scales Renewables T..	42,000
Brenda Sayers	3/13/2018	WEST VALLEY DEVELOPMENT PROGRAM, Janitorial contract	48,720
Brickchurch Solar, LLCq	1/10/2018	>200KW PV, NY Sun	845,093
Bright Power, Inc.	12/6/2017	ADVANCED BUILDINGS, PV Battery backup system demo	25,000
	12/11/2017	<200KW PV, NY Sun	39,256
	12/12/2017	<200KW PV, NY Sun	25,056
	1/3/2018	<200KW PV, NY Sun	56,080
	1/8/2018	Real Time Enrgy Management, Selfhelp Comm-Multisite-RTEM	159,275
	1/16/2018	Real Time Enrgy Management, Bright Power-255E149thSt-RTE..	52,988
	2/16/2018	<200KW PV, NY Sun	114,380
Brodhead Solar, LLC	10/27/2017	>200KW PV, NY Sun	654,947
Brookhaven National Lab	11/3/2017	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cent..	264,550
	2/26/2018	ENVIRONMENTAL RESEARCH, Technical assistance	250,000
Brooklyn SolarWorks LLC	12/11/2017	<200KW PV, NY-Sun	5,616
Brown Brothers Harriman & Co.	10/18/2017	Commercial Real Estate Ten, BBH - 140 Bway - CRE Tenant	11,000
BTMI Engineering, PC	11/30/2017	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	73,800
	1/2/2018	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	25,000
Buckeye Terminals, LLC	11/3/2017	FUEL NY, Upstate NY Strategic Fuels Res	1,303,000
Buffalo Neighborhood Stabilization Co	12/1/2017	Low Rise New Construction, New Construction	10,000
Buffalo Solar Solutions Inc	10/10/2017	<200KW PV, NY Sun	8,505
	10/11/2017	<200KW PV, NY Sun	5,565
	11/10/2017	<200KW PV, NY Sun	6,300
	11/30/2017	<200KW PV, NY Sun	8,715
	12/28/2017	<200KW PV, NY-Sun	5,670
	1/10/2018	<200KW PV, NY Sun	6,090
	1/12/2018	<200KW PV, NY Sun	5,355
	2/9/2018	<200KW PV, NY Sun	5,880
	2/20/2018	<200KW PV, NY Sun	5,040
	3/1/2018	<200KW PV, NY Sun	5,565
Buffalo Urban Development Corporation	3/14/2018	Commercial New Construc, NCP15003 - Workforce Train Ctr	119,232

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
BW Research Partnership	2/23/2018	Workforce Industry Partnership, New York Clean Energy Jobs S..	59,320
C.J. Brown Energy, P.C.	10/13/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,500
	10/16/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	11/7/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,500
	12/13/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
	12/14/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/20/2017	Flexible Tech Assistance, FlexTech Consultant Selection	2,438
	1/8/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	1/16/2018	Flexible Tech Assistance, FlexTech Consultant Selection	787
	1/24/2018	Flexible Tech Assistance, FlexTech Consultant Selection	8,694
	1/29/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/12/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Flexible Tech Assistance, FlexTech Consultant Selection	1,400
	3/16/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,745
	3/20/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/30/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
C.T. Male Associates Engineering,	12/8/2017	Flexible Tech Assistance, FlexTech Consultant Selection	3,070
	3/16/2018	EXISTING FACILITIES, Technical Review and Program S	2,225
Calpine Corporation	3/30/2018	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	174,333,640
Candlewyck Associates LLC	10/2/2017	Multifam Performance Pgm, Multifamily	14,400
Carahsoft Technology Corporation	12/29/2017	NYSERDA ADMINISTRATION, Renewal: Salesforce.com	0
		Renewal: Salesforce.com	1,239,347
	3/23/2018	NYSERDA ADMINISTRATION, Renewal: Salesforce.com	11,585
Caroprese & Company	3/2/2018	NEW YORK GREEN BANK, Forecast Model Development	50,000
Caspian Solar, LLC	1/5/2018	>200KW PV, NY-Sun C&I	1,375,337
Cayuga Meadows Housing Developmen..	11/16/2017	NEW YORK ENERGY STAR HOMES, New Construction	180,000
CDH Energy Corporation	11/3/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	11/30/2017	Community RH&C, Technical Review and Program S	44,390
	2/5/2018	Industrial Process Effic, Technical Review and Program S	2,410
	2/28/2018	Industrial Process Effic, Technical Review and Program S	6,410
Center for Renewables Integration	2/23/2018	Rmve Barriers Dist Enrgy Storg, Energy Storage	37,900
CHA Consulting Inc.	10/19/2017	Flexible Tech Assistance, FlexTech Consultant CHA	10,700
	11/3/2017	Flexible Tech Assistance, FlexTech Consultant CHA	7,300
	11/15/2017	Renewable Heat NY, Technical Review and Program S	4,200
	11/16/2017	Flexible Tech Assistance, FlexTech Consultant CHA	20,000
		Industrial Process Effic, Technical Review and Program S	20,300
	11/29/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	13,000
	12/6/2017	Flexible Tech Assistance, FlexTech Consultant Selection	30,000
	12/20/2017	Industrial Process Effic, Technical Review and Program S	20,000
	1/2/2018	Flexible Tech Assistance, Technical Review and Program S	79,000
		FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and ..	79,000
	1/5/2018	Flexible Tech Assistance, Technical Review and Program S	39,500
		FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and ..	39,500
		Industrial Process Effic, Technical Review and Program S	48,000
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	112,000
		Renewable Heat NY, Technical Review and Program S	4,200
	1/8/2018	Flexible Tech Assistance, Technical Review and Program S	33,600
		FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and ..	44,100
		Industrial Process Effic, Technical Review and Program S	29,400
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	102,900
	1/24/2018	Renewable Heat NY, Technical Review and Program S	2,100
	2/8/2018	Industrial Process Effic, Technical Review and Program S	41,000
	2/23/2018	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	9,500
	3/7/2018	Industrial Process Effic, Technical Review and Program S	6,600
	3/8/2018	Renewable Heat NY, Technical Review and Program S	4,600
	3/9/2018	Flexible Tech Assistance, FlexTech Consultant Selection	12,500

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
CHA Consulting Inc.	3/16/2018	Renewable Heat NY, Technical Review and Program S	2,400
Chadbourne & Parke LLP	1/10/2018	NEW YORK GREEN BANK, Investec/Sunrun Legal Fees	1,566
Champlain Valley Apple Storage, Inc.	3/9/2018	Industrial Process Effic, Industrial Process Efficiency	11,372
Chenango Contracting, Inc.	1/30/2018	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3456	150,000
Chloe Capital SPV Manager LLC	10/30/2017	M-Corps, 2017 Chloe Capital Accelerator	8,000
CIR ELECTRICAL CONSTRUCTION CORP.	12/7/2017	<200KW PV, NY Sun	5,082
	12/8/2017	<200KW PV, NY Sun	65,000
	2/26/2018	<200KW PV, NY Sun	6,545
Citigroup Technology, Inc.	10/6/2017	ADVANCED BUILDINGS, EFP/DMP2465 - Citigroup	314,714
		EXISTING FACILITIES, EFP/DMP2465 - Citigroup	5,862,649
		INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	3,489,321
	11/6/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	619,328
	11/13/2017	Industrial Process Effic, Industrial Process Efficiency	584,798
City Centre Assoicates, LLC	1/22/2018	Multifam New Construction, MFNCP - City Centre	280,200
City of Buffalo	12/18/2017	CLEANER GREENER COMMUNITIES, CGC57282 - City of Buf..	1,500,000
City of Cohoes	2/8/2018	Clean Energy Communities, City of Cohoes	100,000
City of Lockport	3/26/2018	COMMUNITY SOLAR, Solarize 2018	5,000
City of Peekskill	3/21/2018	CLEANER GREENER COMMUNITIES, City of Peekskill	50,000
City of Rome	3/29/2018	Clean Energy Communities, City of Rome	100,000
CJL Engineering	12/1/2017	Flexible Tech Assistance, FlexTech Consultant Selection	28,650
Claire Weisz Architects	10/30/2017	Electric Vehicles - Innovation, Residential Carshare NY Metro	150,000
Clarkson Univ., Research Div.	11/27/2017	Environmental Research, MAP-AQ mobile platform	45,000
Clean Energy Collective, LLC	12/12/2017	>200KW PV, NY Sun	273,415
Clean Energy States Alliance	11/29/2017	ENERGY ANALYSIS, Coordination of USDOE Grant	4,430
Clean Power Research	10/20/2017	Solar Thermal, Power Clerk Database for NYSUN	6,500
CLEAResult Consulting, Inc.	1/12/2018	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Te..	89,654
		EMPOWER NY, Technical Support SFR	56,036
		Home Perf w Energy Star, Technical Support SFR	4,460,966
		HOME PERFORMANCE WITH ENERGY STAR, Technical Sup..	134,481
		Technical Support SFR	319,475
	1/26/2018	Commercial New Construc, Centralized Services & Support	50,000
		Low Rise New Construction, Centralized Services & Support	100,000
		Multifam New Construction, Centralized Services & Support	50,000
	3/14/2018	Multifam Performance Pgm, Centralized Services & Support	147,573
	3/20/2018	Industrial Process Effic, Centralized Services & Support	25,000
	3/22/2018	Low Rise New Construction, Implementation and Support con	25,000
		NEW YORK ENERGY STAR HOMES, Implementation and Sup..	25,000
Climate Policy Initiative	2/16/2018	Rmve Barriers Dist Enrgy Storg, Energy Storage	48,900
Clinton Complex Housing Development..	3/14/2018	Multifam Performance Pgm, Multifamily	11,200
ClipperCreek, Inc.	11/14/2017	EV Charging Stations	6,873
CNY Solar, Inc.	10/17/2017	<200KW PV, NY Sun	10,000
	11/2/2017	<200KW PV, NY Sun	5,688
	12/12/2017	<200KW PV, NY Sun	65,000
	12/14/2017	<200KW PV, NY Sun	32,593
	1/5/2018	<200KW PV, NY Sun	262
	2/6/2018	<200KW PV, NY Sun	25,920
Code Green Solutions, Inc.	10/20/2017	Commercial Real Estate Ten, CodeGreen - 1333 Broadway	5,000
	12/20/2017	Flexible Tech Assistance, FlexTech Consultant Selection	5,600
	1/24/2018	Commercial Real Estate Ten, CodeGreen-Multisite-CT	50,000
	3/8/2018	Commercial Real Estate Ten, Code Green-390 Madison Ave-CT	9,300
		Commercial Real Estate Ten, CodeGreen-201 EC Ave-CT	5,000
	3/28/2018	Commercial Real Estate Ten, CodeGreen-420 Lexington Ave-CT	5,000
Cogeneration Contractors, Inc.	1/16/2018	COMBINED HEAT AND POWER, CHPA - La Casa Del Mundo	117,000
Cohen Ventures Inc	1/29/2018	Air Source Heat Pumps, FlexTech Consultant Selection	20,000
College at Brockport	1/25/2018	Workforce Industry Partnership, Workforce Dev & Train	223,900
Color Methods	12/7/2017	Low-Income Forum on Energy, LIFE 2018 Conference - CMI AV	10,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Columbia University	10/27/2017	Industrial Process Effic, Industrial Process Efficiency	11,420
Comalli Group, Inc.	11/6/2017	<200KW PV, NY Sun	738
Commercial Investigations LLC	1/31/2018	NYSERDA ADMINISTRATION, Background Checks	10,000
COMMET 380, Inc.	10/17/2017	NEW CONSTRUCTION PROGRAM, NCP11588 - Better Madis..	192,136
Communications Specialists, Inc.	12/27/2017	<200KW PV, NY Sun	5,416
	1/4/2018	<200KW PV, NY Sun	10,800
Community Counseling & Mediation Se..	3/2/2018	Multifam New Construction, MFNCP - Beverly's Place	243,200
Community Development Corporation o..	2/27/2018	NEW YORK ENERGY STAR HOMES, New Construction	136,000
Concur Technologies, Inc.	3/26/2018	NYSERDA ADMINISTRATION, 2018-2020 Concur annual cost	33,000
Consortium for Energy Efficiency, Inc.	3/15/2018	Prof & Expert Engagement, Industrial Process Efficiency	48,000
Constellation Energy Nuclear Group, L..	3/20/2018	ZEC:CES ZEC Payments, ZEC - Nuclear Facilities	343,413,340
Continental Automated Buildings	12/14/2017	Subscription/Data Access, Market Insights	11,700
Continental Buchanan, LLC	10/23/2017	Industrial Process Effic, Industrial Process Efficiency	118,346
	12/20/2017	Industrial Process Effic, Industrial Process Efficiency	100,000
Cooper Friedman Electric Supply Co. Inc.	12/8/2017	<200KW PV, NY Sun	170,688
	2/22/2018	>200KW PV, NY Sun	122,624
Copses Farms LLC	1/24/2018	Commercial New Construc, NCP15054 - Copses Dairy	47,579
Cornell Cooperative Extension - Tompk..	11/15/2017	Community Energy Engagement, CEEP Southern Tier Region (..	390,000
Cornell University	10/23/2017	OTHER PROGRAM AREA, 76West Building a Clean Energy	58,225
	11/2/2017	OTHER PROGRAM AREA, 2018 EaC Sponsorship	30,000
	12/21/2017	OTHER PROGRAM AREA, 76West Building a Clean Energy	26,373
Cornerstone Energy Services	3/2/2018	Renewable Heat NY, Cornerstone - Town of Belmont	23,000
	3/8/2018	Renewable Heat NY, Cornerstone - Town of Chateaug	34,925
CoStar Realty Information, Inc.	3/21/2018	Subscription/Data Access, CoStar Subscription	18,887
Croton Energy Group, Inc.	10/26/2017	<200KW PV, NY Sun	8,750
	2/8/2018	<200KW PV, NY Sun	8,280
Crowne Plaza Times Square Manhattan	1/18/2018	REV Connect, 2017 REV Connect '17 Conferenc	1,982
	2/9/2018	REV Connect, 2017 REV Connect '17 Conferenc	63
CTG:I LLC	12/20/2017	OTHER PROGRAM AREA, CTG i3 subscription	8,500
Cullen and Dykman, LLP	12/7/2017	NYSERDA ADMINISTRATION, Counsel's Office	5,000
Culver Company, LLC	10/26/2017	POLICY DEVELOPMENT, 2017 NYS DPS Consumer Booklets	12,178
Currier Plastics	2/22/2018	Industrial Process Effic, Industrial Process Improvement	15,295
Cutone & Company Consultants, LLC	10/6/2017	ADVANCED BUILDINGS, EFP2460 - Cutone - 345 Hudson	75,322
	10/23/2017	Commercial Real Estate Ten, LC Associates-525 Bway-CommT..	8,945
	11/9/2017	Commercial Real Estate Ten, LC Assoc-575 Lex Ave-CT	10,568
	12/14/2017	Commercial Real Estate Ten, LC Associates-1370 Bway-CT	10,568
	12/27/2017	Commercial Real Estate Ten, LC Associates-1370 AoA-CT	10,068
	3/20/2018	ADVANCED BUILDINGS, EFP/DMP2499 - Cutone; Fordham	69,600
		EXISTING FACILITIES, EFP/DMP2499 - Cutone; Fordham	111
D C Hotels Two, LLC	3/7/2018	Low-Income Forum on Energy, 2018 LIFE Hotel - Holiday Inn	8,330
D. F. Brandt, Inc.	1/17/2018	Industrial Process Effic, Industrial Process Efficiency	111,030
D'Youville College	3/12/2018	REV Campus Challenge, RM14 - D'Youville College	62,145
Darling Advertising Agency Inc.	10/18/2017	NYSERDA ADMINISTRATION, Climate Alliance Logo PO	18,198
DeChantal Apartments, Inc.	3/14/2018	Multifam Performance Pgm, Multifamily	91,000
Dell, Inc.	10/2/2017	NYSERDA ADMINISTRATION, Dell Laptop/ Docking	13,796
DEMCO New York Corp.	3/5/2018	<200KW PV, NY Sun	23,480
Dentons US LLP	10/18/2017	Off-Shore Wind Pre-Dev Act, Green Bank Outside Legal Ser.	25,000
Dick's Merchandising & Supply Chain, I..	10/26/2017	Commercial New Construc, NCP15047-Conklin Dist Ctr-OFLT	392,896
Digital Realty Trust	11/3/2017	Industrial Process Effic, Industrial Process Efficiency	366,252
Direct Marketing Productions, Inc.	1/16/2018	OTHER PROGRAM AREA, ARPA-E	6,000
Direct Packet Inc.	10/2/2017	NYSERDA ADMINISTRATION, Cisco Video System Maintenan..	10,355
	11/10/2017	NYSERDA ADMINISTRATION, Firewall Endpoint Services	15,600
DJ Acquisition Management	12/19/2017	Industrial Process Effic, Industrial Process Efficiency	5,404
Doherty Electric, LLC	3/7/2018	<200KW PV, NY Sun	4,266
	3/29/2018	<200KW PV, NY-Sun	6,510
Dolomite Products Group, Inc.	11/1/2017	Industrial Process Effic, Industrial Process Efficiency	46,427

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Douglas R Jarvis	12/19/2017	<200KW PV, NY Sun	5,513
Downstream Construction, LLC	10/2/2017	<200KW PV, NY Sun	9,928
	10/11/2017	<200KW PV, NY Sun	7,800
Dr. Richard Schlesinger	2/1/2018	Environmental Research, Sci Adv Agmt w/R. Schlesinger	40,000
DRYDEN-TOMPKINS SOLAR I LLC	3/20/2018	>200KW PV, NY-Sun C&I	4,470,550
	3/26/2018	>200KW PV, NY-Sun C&I	6,902,837
DRYDEN-TOMPKINS SOLAR II LLC	3/20/2018	>200KW PV, NY Sun C&I	1,255,061
		>200KW PV, NY-Sun C&I	3,765,184
	3/26/2018	>200KW PV, NY-Sun C&I	1,255,061
Dual Fuel Corp	10/12/2017	Combined Heat and Power, CHPA - 1791 Walton Avenue	7,800
	2/20/2018	Real Time Enrgy Management, Dual Fuel Corp-237 W 100-RTE..	4,356
Dunntown Solar, LLC	10/3/2017	>200KW PV, NY Sun	481,658
E Source Companies LLC	12/19/2017	Subscription/Data Access, Market Insights	15,000
Earth Sensitive Solutions, LLC	12/7/2017	Geothermal Incentive Program, GSHP Incentve	500,000
East Fishkill Solar LLC	12/13/2017	>200KW PV, NY Sun	310,655
East Point Energy Center, LLC	2/27/2018	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	78,671,086
Eastern Research Group, Inc.	11/10/2017	CLEAN TRANSPORTATION, eTru Standards Development	109,757
EC Infosystems, Inc.	2/13/2018	NYSERDA ADMINISTRATION, Electronic Data Interchange	190,650
Ecoelectro Inc	12/19/2017	OTHER PROGRAM AREA, PON3249 ACE-Exploratory resear	250,000
Ecology and Environment Engineering, PC	10/11/2017	Off-Shore Wind Master Plan, RFP3462 Umbrella Agreement	476,453
	10/30/2017	Environmental Research, RFP3462 Umbrella Agreement	0
		Off-Shore Wind Master Plan, RFP3462 Umbrella Agreement	95,037
		Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	11,736
	2/14/2018	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	131,820
	2/22/2018	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	80,000
Ecovis, Inc.	3/6/2018	<200KW PV, NY Sun	8,568
	3/26/2018	<200KW PV, NY Sun	6,664
	3/29/2018	<200KW PV, NY Sun	5,950
Efficiency Forward, Inc.	1/11/2018	Prof & Expert Engagement, DLC 2017 Membership	25,000
Eiger 3970 Consultants Inc.	3/26/2018	<200KW PV, NY Sun	8,190
	3/27/2018	<200KW PV, NY Sun	16,992
	3/29/2018	<200KW PV, NY Sun	6,000
Electric Power Research Institute	11/22/2017	High Performing Grid, PON 3397 Round 2 - Category A	399,000
	12/5/2017	High Performing Grid, PON 3397 Round 2 - Category D	982,315
	1/19/2018	Environmental Research, Energy Related Air Quality	104,000
EME Consulting Engineering Group, LLC	10/2/2017	NEW CONSTRUCTION PROGRAM, Tech Review and Progra..	1,700
	10/3/2017	Flexible Tech Assistance, FlexTech Consultant Selection	30,000
	11/2/2017	NEW CONSTRUCTION PROGRAM, Tech Review and Progra..	1,700
	11/9/2017	Commercial New Construc, EME - EMP	17,625
	1/2/2018	EXISTING FACILITIES, Tech Review and Program Staff	80,000
		Flexible Tech Assistance, Tech Review and Program Staff	40,000
		FLEXIBLE TECHNICAL ASSISTANCE, Tech Review and Progr..	40,000
	1/30/2018	Home Perf w Energy Star, Staff Augmentation Services	593,341
		NY-SUN, Staff Augmentation Services	741,675
		Renewable Heat NY, Staff Augmentation Services	148,334
	2/28/2018	NYSERDA ADMINISTRATION, Tech Review and Program Staff	133,146
Employee Leasing of Greater NY	10/25/2017	NYSERDA ADMINISTRATION, Temp Employee Services	32,900
	2/20/2018	NYSERDA ADMINISTRATION, Temp Employee Services	4,762
Empower CES, LLC	10/10/2017	<200KW PV, NY Sun	161,153
	12/1/2017	<200KW PV, NY Sun	58
	2/5/2018	<200KW PV, NY Sun	6,388
	3/5/2018	<200KW PV, NY Sun	5,040
	3/29/2018	<200KW PV, NY Sun	6,566
ENER-G Rudox Inc.	1/2/2018	Combined Heat and Power, CHPA - Calvary Hospital	831,650
Eneractive Solutions	12/7/2017	Real Time Enrgy Management, EnerActive-300 E 66th St-RTEM	45,360
Energetics, Incorporated	10/17/2017	CLEAN TRANSPORTATION, Truck Platooning Workshops	29,941

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Energy & Resource Solutions, Inc.	10/3/2017	Rmve Barriers Dist Enrgy Storg, RFP 3407 Categories 2 & 3A	440,410
	10/17/2017	Combined Heat and Power, Technical and Logistic Support	300,000
	10/27/2017	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	45,760
	11/3/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/13/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	12/27/2017	EXISTING FACILITIES, Technical Review and Program S	2,470
	1/5/2018	ENERGY ANALYSIS, Renewable Heating Cooling TA	149,150
	1/26/2018	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALI..	19,140
	1/29/2018	Industrial Process Effic, Technical Review and Program S	5,470
	2/5/2018	Industrial Process Effic, Technical Review and Program S	6,000
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	14,000
	2/23/2018	Industrial Process Effic, Technical Review and Program S	6,365
	3/8/2018	EXISTING FACILITIES, Technical Review and Program S	3,080
Energy and Environmental Economics Inc.	10/6/2017	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ren..	50,000
	1/10/2018	ENERGY ANALYSIS, Tech Assist, REV Pool.	60,000
	1/31/2018	Mkt Char: Tech Assist, Tech Assist, REV Pool.	425,000
	3/29/2018	ENERGY ANALYSIS, Renewable Heating Cooling TA	100,000
Energy Technology Savings, Inc.	11/7/2017	Real Time Enrgy Management, EnergyTech-40 West 57thSt-RT..	7,436
	2/12/2018	Real Time Enrgy Management, ETS - 90 Washington St - RTEM	10,380
		Real Time Enrgy Management, ETS - Moinian Sky - RTEM	15,840
		Real Time Enrgy Management, ETS-Moinian 100 John St-RTEM	8,220
		Real Time Enrgy Management, ETS-Moinian The Marc-RTEM	10,380
		Real Time Enrgy Management, ETS-Moininan Ocean-RTEM	10,380
	3/9/2018	Real Time Enrgy Management, Energy Tech-2 Water St-RTEM	8,400
		Real Time Enrgy Management, Energy Tech-60 W 23rd St-RTE..	11,640
		Real Time Enrgy Management, Energy Tech-145 W 67th St-RT..	8,400
		Real Time Enrgy Management, Energy Tech-245 E 44th St-RT..	5,700
		Real Time Enrgy Management, Energy Tech-330 E 39th St-RT..	5,700
	3/21/2018	Real Time Enrgy Management, Energy Tec-108 W 107th St-RT..	10,593
		Real Time Enrgy Management, Energy Tech-131 Varick St-RTE..	13,893
		Real Time Enrgy Management, Energy Tech-205 South St-RTE..	13,893
		Real Time Enrgy Management, Energy Tech-645 W 45th St-RT..	13,893
		Real Time Enrgy Management, Energy Tech-2138 1st Ave-RTE..	13,893
EnergySavvy Inc	1/8/2018	Home Perf w Energy Star, HPWES Program Mgmt Portal	294,320
Enertiv Inc.	10/5/2017	Real Time Enrgy Management, SL Green - 919 3rd Ave - RTEM	16,088
	11/16/2017	Real Time Enrgy Management, BernsteinRealEs-Multisite-RTEM	17,338
Ensave, Inc.	1/31/2018	Agriculture Energy Eff Pgm, AEEP Implementation Contractor	400,000
EnterSolar LLC	10/18/2017	<200KW PV, NY Sun	116,000
Entic, Inc.	10/23/2017	Real Time Enrgy Management, ShopsAtSkyVi-4024College-RT..	31,569
Environmental Design & Research	10/16/2017	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	6,700
Equinix Inc.	3/30/2018	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	1,581,068
Erdman Anthony & Associates, Inc.	2/5/2018	Industrial Process Effic, Technical Review and Program S	2,696
	2/15/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/20/2018	Industrial Process Effic, Technical Review and Program S	11,012
	2/28/2018	Industrial Process Effic, Technical Review and Program S	14,834
	3/20/2018	Flexible Tech Assistance, FlexTech Consultant Selection	9,950
ESNY-303, LLC	1/9/2018	NY-SUN, PV System @ Kinder Morgan Term	2,499,575
Essense Partners Inc.	10/10/2017	>200KW PV, Marketing Support for NYSERDA	12,000
		Community RH&C, Marketing Support for NYSERDA	11,000
		Geothermal Incentive Program, Marketing Support for NYSERDA	7,000
		Home Perf w Energy Star, Marketing Support for NYSERDA	12,000
		NY-SUN, Marketing Support for NYSERDA	0
		NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	15,570
		Renewable Heat NY, Marketing Support for NYSERDA	25,500
	11/29/2017	REV Connect, Marketing Support for NYSERDA	10,000
	2/14/2018	OTHER PROGRAM AREA, Marketing Support for NYSERDA	170,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
EthosGen, LLC	10/30/2017	OTHER PROGRAM AREA, Technology to Market	250,000
Exelon Generation Company, LLC	3/20/2018	ZEC:CES ZEC Payments, ZEC Nuclear Facilities	139,349,300
Extraterrestrial Materials Inc.	12/18/2017	<200KW PV, NY Sun	51,575
	1/11/2018	<200KW PV, NY Sun	6,300
	1/19/2018	<200KW PV, NY Sun	12,496
	2/9/2018	<200KW PV, NY Sun	8,433
	2/26/2018	<200KW PV, NY Sun	65,000
Facebook, Inc.	3/8/2018	Commercial Real Estate Ten, Facebook-770 Broadway-CT	24,989
Facility Solutions Group	10/27/2017	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	58,042
Farmington Gardens II Associates, LLC	3/9/2018	Low Rise New Construction, New Construction	83,400
Finch Paper, LLC	10/23/2017	Industrial Process Effic, Industrial Process Efficiency	500,000
	11/13/2017	Industrial Process Effic, Industrial Process Efficiency	265,000
Fingerlakes Renewables	12/28/2017	<200KW PV, NY Sun	5,376
First Associates Loan Servicing, LLC	3/15/2018	GJGNY REVOLVING LOAN FUND, Single Family Residential	398,200
First Quality Maintenance II, LLC	12/14/2017	NYSERDA ADMINISTRATION, Admin-NYC (Accounting Use)	97,948
Flight Center Hotel, LLC	3/12/2018	Commercial New Construc, NCP16002 - TWA Hotel	383,161
Flint Mine Solar LLC	3/8/2018	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	106,028,340
Florencia Properties NV, Inc.	2/12/2018	Flexible Tech Assistance, FlexTech Program - PON 1746	5,000
Florenton River LLC	11/16/2017	<200KW PV, NY Sun	9,380
	11/17/2017	<200KW PV, NY Sun	6,400
	12/7/2017	<200KW PV, NY Sun	5,360
	12/11/2017	<200KW PV, NY Sun	17,220
	2/7/2018	<200KW PV, NY Sun	6,132
	2/26/2018	<200KW PV, NY Sun	90,000
	2/28/2018	<200KW PV, NY Sun	43,600
Fordham University	3/30/2018	Flexible Tech Assistance, Commercial	32,378
Fourth Coast, Inc.	12/7/2017	<200KW PV, NY Sun	19,800
	12/28/2017	<200KW PV, NY Sun	3,350
	1/2/2018	<200KW PV, NY Sun	5,775
	3/30/2018	<200KW PV, NY Sun	16,940
Freedom Solar Inc.	10/24/2017	<200KW PV, NY Sun	5,843
	11/20/2017	<200KW PV, NY Sun	4,347
	11/29/2017	<200KW PV, NY Sun	10,847
	12/14/2017	<200KW PV, NY Sun	2,400
	3/29/2018	<200KW PV, NY Sun	7,259
Frontier Energy, Inc.	3/19/2018	Combined Heat and Power, DG Integrated Data System	1,489,031
	3/30/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	28,500
Frost Valley YMCA	2/22/2018	Environmental Research, Hg Dep in Biscuit Brk Wtrshed.	45,500
FS Energy, LLC	10/24/2017	Workforce Industry Partnership, PON 3442 Workforce Training	400,000
Fusion Energy Services LLC	3/29/2018	<200KW PV, NY Sun	5,208
G. W. Lisk Co. Inc.	10/20/2017	Industrial Process Effic, Industrial Process Efficiency	42,801
G.W. Ehrhart, Inc.	12/6/2017	Renewable Heat NY, RHNY-PON3010 Incentive-Town of	36,453
	2/20/2018	Renewable Heat NY, G.W. Ehrhart - Loomis	20,963
	2/26/2018	Renewable Heat NY, G.W. Ehrhart, Inc. - Wheatley	816
	3/28/2018	Renewable Heat NY, G.W Ehrhart/Stuart Staniford	15,000
Galatea Solar, LLC	10/27/2017	>200KW PV, NY Sun	654,947
Garlock Sealing Technologies, LLC	11/10/2017	Industrial Process Effic, Industrial Process Efficiency	3,543
Gartner Inc.	3/20/2018	NYSERDA ADMINISTRATION, Gartner Services 2018 - 2019	55,334
Gaseteria Oil Corp.	11/29/2017	FUEL NY, PGI00124 - Gaseteria Oil Corp.	45,888
	12/7/2017	FUEL NY, PGI00125 - Gaseteria Oil Corp.	69,362
		FUEL NY, PGI00227 - Gaseteria Oil Corp.	55,662
	2/20/2018	FUEL NY, PGI00163 - Gaseteria Oil Corp.	65,668
		FUEL NY, PGI00222 - Gaseteria Oil Corp.	61,742
	2/26/2018	FUEL NY, PGI00223 - Gaseteria Oil Corp.	57,790
Gasoline Heaven at Commack Inc	1/24/2018	FUEL NY, PGI00202 - Gasoline Heaven at	20,132
GCOM Software LLC	11/1/2017	NYSERDA ADMINISTRATION, Staff Augmentation	370,500

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
GCOM Software LLC	1/9/2018	NYSERDA ADMINISTRATION, Salesforce Implementation	204,343
	3/6/2018	NYSERDA ADMINISTRATION, Salesforce	1,411,135
GenE Solar I LLC	1/31/2018	>200KW PV, NY-Sun C/I	1,785,799
		>200KW PV, NYSun C/I	595,266
	2/5/2018	>200KW PV, NY Sun C/I	595,266
	3/20/2018	>200KW PV, NY-Sun C&I	427,574
General Motors	11/1/2017	Industrial Process Effic, Industrial Process Efficiency	104,150
George E Denmark II	10/3/2017	<200KW PV, NY Sun	29,384
	11/7/2017	<200KW PV, NY Sun	6,720
	2/14/2018	<200KW PV, NY Sun	7,366
George J. Martin & Son	12/5/2017	<200KW PV, NY Sun	13,764
	12/28/2017	<200KW PV, NY Sun	14,756
Glenmere Lake Solar LLC	12/12/2017	>200KW PV, NY Sun	306,798
Global Montello Group Corp.	11/1/2017	FUEL NY, PGI00028 - Global Montello Gro	24,237
	11/14/2017	FUEL NY, PGI00209 - Global Montello Gro	7,221
	1/10/2018	FUEL NY, PGI00212 - Global Montello Gro	32,904
	3/22/2018	FUEL NY, PGI00027 - Global Montello Gro	34,376
Goldman Copeland Associates, P.C.	10/6/2017	Flexible Tech Assistance, FlexTech Consultant Selection	10,993
	10/24/2017	Commercial Real Estate Ten, Goldman Copeland-1251-CommT..	10,997
	11/8/2017	Commercial Real Estate Ten, Goldman-750 7th Ave-CommTen	10,997
	11/9/2017	Commercial Real Estate Ten, Goldman Cope-Multisite-CT	4,991
	12/6/2017	Commercial Real Estate Ten, Goldman Cope-Multisite-CT	4,991
	12/27/2017	Commercial Real Estate Ten, Goldman Copeland-100 AoA-CT	10,969
		Commercial Real Estate Ten, Goldman Copeland-155 AoA-CT	10,969
		Commercial Real Estate Ten, GoldmanCopel- 435 Hudson St-CT	10,969
	1/22/2018	Commercial Real Estate Ten, Goldman Copeland-40 Fulton-CT	10,997
		Commercial Real Estate Ten, Goldman Copeland-350 Park A-CT	10,997
	1/26/2018	Flexible Tech Assistance, FlexTech Consultant Selection	19,979
	2/20/2018	Flexible Tech Assistance, FlexTech Consultant Selection	9,996
	3/8/2018	Commercial Real Estate Ten, Goldman Copeland-90 Park Av-CT	10,997
		Commercial Real Estate Ten, Goldman Copeland-888 7th Av-CT	10,997
	3/15/2018	Commercial Real Estate Ten, Goldman Copela-1 Penn Plaza-CT	10,997
		Commercial Real Estate Ten, Goldman Copelan-640 5th Ave-CT	10,997
		Commercial Real Estate Ten, Goldman Copelan-689 5th Ave-CT	10,997
GPSDC New York Inc	10/5/2017	Commercial New Construc, NCP15058 - Northeast Distribut	220,000
Green Hybrid Energy Solutions Inc.	11/22/2017	<200KW PV, NY Sun	8,750
Green Light New York, Inc.	1/26/2018	Prof & Expert Engagement, 2018 BEEx Watt Membership	50,000
Green Street Power Partners LLC	10/16/2017	<200KW PV, NY-Sun	3,000
Green Water and Power NYC Electrical ..	10/4/2017	<200KW PV, NY Sun	5,214
Greene County Energy Properties, LLC	3/6/2018	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	13,272,894
Greentech Media Inc.	12/13/2017	NY-SUN, Subscription - Greentech Media	25,000
	1/10/2018	Subscription/Data Access, Grid Edge & Storage	55,000
Grid City Electric Corp	11/2/2017	<200KW PV, NY Sun	4,356
	1/11/2018	<200KW PV, NY Sun	792
	1/30/2018	<200KW PV, NY Sun	6,700
	3/5/2018	<200KW PV, NY Sun	12,512
GridPoint, Inc	11/28/2017	Real Time Enrgy Management, City of Albany-Multisite-RTEM	117,365
Group-S LLC	1/29/2018	Flexible Tech Assistance, FlexTech Consultant Selection	32,750
GZA GeoEnvironmental of New York	3/26/2018	WEST VALLEY DEVELOPMENT PROGRAM, Trench 14 Investi..	183,375
Halcyon, Inc.	10/4/2017	<200KW PV, NY-Sun	7,416
	12/28/2017	<200KW PV, NY Sun	5,036
	1/22/2018	<200KW PV, NY Sun	8,698
Harolds Holding LLC	2/8/2018	Multifam New Construction, New Construction	161,200
Harris Beach PLLC	10/11/2017	GJGNY REVOLVING LOAN FUND, RFP 3300 Outside Counsel..	10,000
	11/29/2017	GJGNY REVOLVING LOAN FUND, RFP 3300 Outside Counsel..	10,000
Harvest Power, LLC	10/23/2017	<200KW PV, NY Sun	34,638

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Harvest Power, LLC	2/8/2018	<200KW PV, NY Sun	17,146
	2/16/2018	<200KW PV, NY Sun	27,135
	3/1/2018	<200KW PV, NY Sun	23,280
	3/5/2018	<200KW PV, NY Sun	5,126
	3/12/2018	<200KW PV, NY Sun	15,746
	3/21/2018	<200KW PV, NY Sun	278
Hawkins Delafield & Wood LLC	1/3/2018	GJGNY REVOLVING LOAN FUND, Bond Counsel Services	60,000
Heathcote Auto Sales & Leasing Corp	3/22/2018	FUEL NY, PGI00146 - Heathcote Auto Sal	1,003
Hecate Energy Columbia County 1 LLC	3/6/2018	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	50,285,274
Heitmann Builders	10/16/2017	Low Rise New Construction, LRNCP - 15 High St - NZE	5,000
High Peaks Solar	10/30/2017	<200KW PV, NY-Sun	6,648
	3/7/2018	<200KW PV, NY-Sun	5,836
	3/29/2018	<200KW PV, NY Sun	5,880
High River Energy Center, LLC	2/27/2018	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	74,651,782
Holland & Knight LLP	12/11/2017	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	148,456
	12/13/2017	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	13,478
	1/10/2018	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	21,642
	2/22/2018	LMI Community Solar, RFP 3300 & RFP 3776 Outside Co	50,000
	2/27/2018	SMART GRID SYSTEMS, RFP 3300 & RFP 3776 Outside Co	20,000
Home HeadQuarters, Inc.	11/22/2017	Community Energy Engagement, CEEP Central New York Regi..	390,000
Honeywell International Inc.	2/26/2018	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RF..	1,843
		EMPOWER NY, RFQL 3434 Cat1 Res SF	340
		Home Perf w Energy Star, RFQL 3434 Cat1 Res SF	203,806
		HOME PERFORMANCE WITH ENERGY STAR, RFQL 3434 C..	1,611
		RFQL 3434 Cat1 Res SF	32,400
Housing Visions Unlimited, Inc.	12/20/2017	Low Rise New Construction, New Construction	50,000
Hudson River Housing, Inc.	2/14/2018	Multifam New Construction, New Construction	66,800
Hudson River Trading	11/7/2017	Industrial Process Effic, Industrial Process Efficiency	234,004
Hudson Solar	10/4/2017	<200KW PV, NY Sun	1,368
	10/12/2017	<200KW PV, NY Sun	5,328
	10/18/2017	<200KW PV, NY Sun	13,248
	12/4/2017	<200KW PV, NY Sun	20,552
	12/5/2017	<200KW PV, NY-Sun	5,534
	12/14/2017	<200KW PV, NY Sun	65,000
	1/2/2018	<200KW PV, NY Sun	5,444
	2/1/2018	<200KW PV, NY Sun	5,184
Hudson Valley Wind Energy, LLC	10/12/2017	<200KW PV, NY Sun	5,328
	12/7/2017	<200KW PV, NY Sun	63,764
Hunter Mountain Ski Bowl Inc.	11/16/2017	Industrial Process Effic, Industrial Process Efficiency	23,966
	2/7/2018	Industrial Process Effic, Industrial Process Efficiency	20,788
ICF Jones & Stokes	11/29/2017	ENVIRONMENTAL RESEARCH, NYS Energy Research and D..	78,000
ICF Resources, LLC	10/19/2017	Off-Shore Wind Pre-Dev Act, Flex Energy Tech Analysis 2	123,302
	11/10/2017	NY-SUN, Affordable Solar Saratoga Spri	103,484
	1/8/2018	ENERGY ANALYSIS, Flex Energy Tech Analysis 2	125,000
	3/19/2018	EXISTING FACILITIES, Technical Review and Program S	3,366
Incorporated Village of Laurel Hollow	1/2/2018	CLEANER GREENER COMMUNITIES, Laurel Hollow	50,000
Incorporated Village of Oyster Bay Cove	3/12/2018	CLEANER GREENER COMMUNITIES, Oyster Bay Cove	50,000
Industrial Economics, Incorporated	11/10/2017	SMART GRID SYSTEMS, Flex Energy Tech Analysis 2	40,000
INF Associates LLC	11/27/2017	Commercial Real Estate Ten, INF Associates-733 3rd Ave-CT	35,509
	12/6/2017	Commercial Real Estate Ten, INF Associates-655 Third Av-CT	44,521
	2/28/2018	Commercial Real Estate Ten, INF Associates-655 Third Av-CT	10,509
	3/28/2018	Commercial Real Estate Ten, INF Associates-1133 6th Ave-CT	40,509
Infinity Solar Systems, LLC	11/7/2017	<200KW PV, NY Sun	3,566
	11/21/2017	<200KW PV, NY Sun	5,166
	1/24/2018	<200KW PV, NY Sun	1,601
inMotion, Inc.	11/27/2017	NYSERDA ADMINISTRATION, inMotion Project Management	74,500

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Institute for Building Technology and Sa	1/25/2018	Air Source Heat Pumps, RFQL 3434 IBTS Standards & QA	95,000
	1/26/2018	Air Source Heat Pumps, RFQL 3434 IBTS Standards & QA	50,000
	1/31/2018	EMPOWER NY, RFQL 3434 IBTS Standards & QA	136,537
		Home Perf w Energy Star, RFQL 3434 IBTS Standards & QA	167,304
		RFQL 3434 IBTS Standards & QA	75,600
Integral Group LLC	11/15/2017	Commercial New Construc, Integral Group LLC-RFP3036 Ser	56,635
Integrated Solar Technology, LLC	11/10/2017	OTHER PROGRAM AREA, Technology to Market	500,000
IntelliGen Power Systems, LLC	3/26/2018	Combined Heat and Power, CHPA - Huron	1,228,080
International Business Machines	10/24/2017	NYSERDA ADMINISTRATION, Replacement for PPSI Site	34,129
Intrepid Museum Foundation	10/2/2017	Combined Heat and Power, 10.18.17 CHP Customer Event	13,900
Invenergy Wind, LLC	3/19/2018	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	466,841,264
Inverters Unlimited, Inc.	1/22/2018	<200KW PV, NY Sun	312
IPPsolar Integration LLC	12/27/2017	<200KW PV, NY Sun	60,554
Irving Tissue, Inc	1/9/2018	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	63,646
Iskalo 5000 Main LLC	2/27/2018	NEW CONSTRUCTION PROGRAM, NCP11492 - 5000 Main St..	42,135
Jack M Reilly	3/16/2018	Pub Transit & Elect Rail, Transit Bus Fuel Economy Study	24,900
Jefferson Community College	10/16/2017	REV Campus Challenge, RM4 - SUNY Jefferson Community	52,528
Jefferson Solar, LLC	3/5/2018	>200KW PV, NY-Sun C&I	882,505
Jeffery B. Greenblatt	3/23/2018	ENERGY ANALYSIS, EEA Project Review	24,000
John Siegenthaler	3/7/2018	WORKFORCE DEVELOPMENT, RFP 3165 Hydronic System D..	1,800
Johnson Controls Inc.	1/5/2018	Flexible Tech Assistance, FlexTech Consultant Selection	44,044
Johnstone Group, LLC	2/22/2018	Residential-Engaging New Mkts, Market Development - Admin	50,000
Johnstown Renewables	3/8/2018	Industrial Process Effic, Industrial Process Efficiency	104,289
Joule Capital, LLC	12/6/2017	Real Time Enrgy Management, Joule Cap-500 Yonkers Ave-RT..	77,548
	12/7/2017	Real Time Enrgy Management, YonkersHonda-2000Central-RT..	36,379
JPMartin Energy Strategy LLC	11/1/2017	OTHER PROGRAM AREA, PON 3249 ACE--Lithium research	49,968
Kamtech Restoration Corp	2/28/2018	<200KW PV, NY Sun	10,824
	3/27/2018	<200KW PV, NY Sun	7,281
Karpman Consulting, LLC	1/24/2018	Code to Zero, Karpman Csltg RFP3036 Services	10,000
Kasselman Solar LLC	10/5/2017	<200KW PV, NY Sun	61,994
	10/10/2017	<200KW PV, NY Sun	10,137
	10/12/2017	<200KW PV, NY Sun	10,620
	10/17/2017	<200KW PV, NY Sun	192
	10/25/2017	<200KW PV, NY Sun	5,163
	10/31/2017	<200KW PV, NY Sun	5,782
	11/2/2017	<200KW PV, NY Sun	7,021
	11/6/2017	<200KW PV, NY Sun	2,400
	11/21/2017	<200KW PV, NY Sun	8,316
	11/28/2017	<200KW PV, NY Sun	8,960
		<200KW PV, NY-Sun	6,090
	12/7/2017	<200KW PV, NY Sun	5,163
	12/19/2017	<200KW PV, NY Sun	31,382
	12/28/2017	<200KW PV, NY Sun	9,504
		<200KW PV, NY-Sun	6,230
	1/2/2018	<200KW PV, NY Sun	8,750
	2/7/2018	<200KW PV, NY Sun	937
	2/20/2018	<200KW PV, NY Sun	5,369
	2/26/2018	<200KW PV, NY Sun	11,452
	2/27/2018	<200KW PV, NY Sun	7,384
	3/26/2018	<200KW PV, NY Sun	6,018
	3/27/2018	<200KW PV, NY Sun	284
Kearns & West, Inc.	3/6/2018	Environmental Research, ETWG meeting prep & support	49,940
Kelleher Samets Volk	10/3/2017	NYSERDA ADMINISTRATION, Digital Transformation	88,800
		NYSERDA ADMINISTRATION, Salesforce Optimization	46,480
	11/21/2017	Home Perf w Energy Star, Marketing Support for NYSERDA	460,850
	11/29/2017	ENERGY ANALYSIS, Marketing Support for NYSERDA	15,000

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Kelleher Samets Volk	1/3/2018	Workforce Industry Partnership, Marketing Support for NYSERD..	34,960
	2/12/2018	Strategic Energy Manager, Marketing Support for NYSERDA	36,000
Kilowatt Engineering, Inc.	10/3/2017	EXISTING FACILITIES, Technical Review and Program S	17,910
	10/17/2017	Industrial Process Effic, Technical Review and Program S	4,488
	11/7/2017	Industrial Process Effic, Technical Review and Program S	5,691
	2/26/2018	Industrial Process Effic, Technical Review and Program S	5,526
	3/1/2018	Industrial Process Effic, Technical Review and Program S	8,171
Kingston, City of	1/24/2018	Clean Energy Communities, City of Kingston	100,000
L&S Energy Services, Inc.	10/3/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/13/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/17/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	10/19/2017	GJGNY REVOLVING LOAN FUND, Technical Review and Prog..	9,539
	10/26/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	10/27/2017	Industrial Process Effic, Technical Review and Program S	3,000
	11/1/2017	Industrial Process Effic, Technical Review and Program S	9,254
	11/3/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Industrial Process Effic, Technical Review and Program S	29,240
	11/13/2017	Industrial Process Effic, Technical Review and Program S	17,010
	11/21/2017	Industrial Process Effic, Technical Review and Program S	51,143
	12/6/2017	Renewable Heat NY, Technical Review and Program S	2,480
	1/2/2018	Flexible Tech Assistance, Technical Review and Program S	29,000
		FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and ..	29,000
	1/5/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
		Industrial Process Effic, Technical Review and Program S	42,000
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	98,000
	1/8/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
		Industrial Process Effic, Technical Review and Program S	3,816
	1/17/2018	Renewable Heat NY, Technical Review and Program S	2,550
	1/24/2018	Renewable Heat NY, Technical Review and Program S	1,716
	1/26/2018	Renewable Heat NY, Technical Review and Program S	1,891
	1/30/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	12,500
	2/12/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	15,000
	2/14/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/20/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	2/26/2018	Industrial Process Effic, Technical Review and Program S	6,050
	2/28/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/1/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
		Flexible Tech Assistance, FlexTech Consultant Selection	4,000
	3/5/2018	Renewable Heat NY, Technical Review and Program S	2,996
	3/8/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
	3/16/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
	3/20/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,000
	3/23/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	12,500
LaBella Associates, P.C.	12/11/2017	Commercial New Construc, New Construction	10,401
	2/12/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/8/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	3/22/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
Landau Solar II LLC	2/21/2018	>200KW PV, NY Sun	475,365
Landau Solar III, LLC	2/21/2018	>200KW PV, NY Sun	475,365
Laurie D Kerr	3/13/2018	Clean Energy Communities, Communities & Local Government	15,000
		Code to Zero, Codes	90,000
		New Construction- Housing, New Construction	95,000
LC DRives	11/1/2017	OTHER PROGRAM AREA, PON 3249 ACE	50,000
Libolt & Sons, Inc.	11/17/2017	Low Rise New Construction, New Construction	9,000
LiDestri Foods, Inc.	2/20/2018	Industrial Process Effic, Industrial Process Efficiency	236,200
Lincoln Life & Annuity Company of NY	3/9/2018	NYSERDA ADMINISTRATION, Long Term Disability Premium	1,178

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Linwood Lafayette LP	3/29/2018	Low Rise New Construction, New Construction	37,000
Local 32BJ Thomas Shortman Training	12/4/2017	Workforce Industry Partnership, Coordinate business case demo	15,000
Long Island Power Solutions	2/8/2018	<200KW PV, NY Sun	32,631
	2/16/2018	<200KW PV, NY Sun	17,520
	3/13/2018	<200KW PV, NY Sun	7,562
Lono LLC	10/3/2017	Geothermal Incentive Program, Large-Scale GSHP Rebate	24,000
Lotus Energy, Inc.	10/12/2017	<200KW PV, NY Sun	5,762
	10/23/2017	<200KW PV, NY Sun	64,976
	11/21/2017	<200KW PV, NY Sun	5,040
	12/5/2017	<200KW PV, NY Sun	9,941
	2/28/2018	<200KW PV, NY Sun	8,698
Low-Level Radioactive Waste Forum, In..	12/14/2017	NYSERDA ADMINISTRATION, Data & Markets	5,000
LSI Lightron	2/1/2018	Industrial Process Effic, Industrial Process Efficiency	17,156
Lumsden & McCormick, LLP	10/6/2017	REC:CES REC System Dev Costs, Consulting Services	5,750
M.J. Bradley & Associates	1/26/2018	Electric Vehicles - Innovation, Utilities and EVs in NYS	50,000
M/E Engineering, P.C.	10/23/2017	Industrial Process Effic, Technical Review and Program S	6,885
	10/27/2017	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	13,440
	12/8/2017	Industrial Process Effic, Technical Review and Program S	11,925
	12/27/2017	Industrial Process Effic, Technical Review and Program S	3,685
	1/16/2018	Industrial Process Effic, Technical Review and Program S	12,335
	3/7/2018	Industrial Process Effic, Technical Review and Program S	14,515
Maplewood Senior Living, LLC	1/30/2018	Commercial New Construc, NCP15051-1802 2nd Avenue-OFLT	58,722
Marshall & Sterling, Inc.	3/7/2018	NYSERDA ADMINISTRATION, Property Liability and Other	264,000
Martin Energy Group Services, LLC	2/22/2018	Combined Heat and Power, CHPA - VAMC Albany Samual	1,042,210
Masaryk Towers Corp.	2/22/2018	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	333,450
Maurice I Schwartz Towers Inc	10/12/2017	Multifam Performance Pgm, Multifamily	98,700
	3/15/2018	Multifam Performance Pgm, Multifamily	14,100
Max Solar Inc	12/13/2017	<200KW PV, NY Sun	8,750
Meister Consultants Group, Inc.	12/6/2017	Soft Cost Challenge, Soft Cost Chellange_Constant	49,000
Memorial Sloan Kettering Cancer Center	10/30/2017	Workforce Industry Partnership, PON 3442 Workforce Training	400,000
MEP Geothermal Engineering, PLLC	11/30/2017	Geothermal Incentive Program, GSHP Incentive	474,000
Michelangelo Preservation LLC	11/3/2017	Multifam Performance Pgm, Multifamily	345,800
MIDDLESEX-YATES SOLAR LLC	3/20/2018	>200KW PV, NY-Sun C&I	1,563,493
Milliman, Inc.	2/22/2018	NYSERDA ADMINISTRATION, Valuation GASB 74 OPEB Liabili	11,500
Milton P. Enstine & Sons, Inc.	10/16/2017	FUEL NY, PGI00110 - Milton P. Enstine &	1,774
Minisink Solar 1, LLC	1/31/2018	>200KW PV, NY-Sun C&I	900,607
Minisink Solar 2, LLC	1/31/2018	>200KW PV, NY-Sun C/I	1,100,782
Mohawk Valley Economic Development	12/11/2017	Community Energy Engagement, CEEP Mohawk Valley Region ..	390,000
Molecular Glasses, Inc.	11/21/2017	OTHER PROGRAM AREA, Technology to Market	400,000
Monolith Solar Associates, LLC	11/13/2017	<200KW PV, NY Sun	12,859
	12/8/2017	<200KW PV, NY Sun	317,500
	12/12/2017	<200KW PV, NY Sun	63,500
	12/14/2017	<200KW PV, NY Sun	127,000
	12/18/2017	<200KW PV, NY Sun	128,500
	12/19/2017	<200KW PV, NY Sun	130,000
	12/27/2017	<200KW PV, NY Sun	260,000
	1/2/2018	<200KW PV, NY Sun	780,800
	1/5/2018	<200KW PV, NY Sun	130,000
	2/12/2018	<200KW PV, NY Sun	192,606
	2/21/2018	<200KW PV, NY Sun	116,350
	2/22/2018	<200KW PV, NY Sun	385,806
	2/26/2018	<200KW PV, NY Sun	193,781
	2/27/2018	<200KW PV, NY Sun	40,640
	2/28/2018	<200KW PV, NY Sun	195,000
	3/1/2018	<200KW PV, NY Sun	6,858
	3/5/2018	<200KW PV, NY Sun	395,030

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Monolith Solar Associates, LLC	3/6/2018	<200KW PV, NY Sun	183,402
	3/13/2018	<200KW PV, NY Sun	130,000
	3/14/2018	<200KW PV, NY Sun	798
Moore Energy, LLC	12/18/2017	<200KW PV, NY Sun	58,960
Mount Sinai Medical Center	11/13/2017	ADVANCED BUILDINGS, EFP2394 - Mount Sinai Medical	44,206
		EXISTING FACILITIES, EFP2394 - Mount Sinai Medical	208,125
	1/29/2018	Flexible Tech Assistance, FT11621 - Mount Sinai Medical	82,984
MP Owner LLC	3/14/2018	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	71,380
National Elevator Cab and Door	2/5/2018	Industrial Process Effic, Industrial Process Efficiency	29,944
Navigant Consulting Inc.	12/21/2017	REV Connect, REV Connect	99,016
Nazareth Regional High School	12/6/2017	Flexible Tech Assistance, FT11614 - Nazareth High School	15,276
	12/14/2017	Flexible Tech Assistance, FlexTech Program - PON 1746	13,866
NECEC Institute	10/12/2017	OTHER PROGRAM AREA, Consumer Serv & Events Managem	45,000
	1/3/2018	OTHER PROGRAM AREA, Technology to Market	40,000
NESCAUM	12/21/2017	Electric Vehicles - Innovation, ZEV Marketing Campaign	262,500
		OTHER PROGRAM AREA, ZEV Marketing Campaign	262,500
	2/26/2018	ENVIRONMENTAL RESEARCH, Tech Assist, REV Pool	260,000
	3/8/2018	ENVIRONMENTAL RESEARCH, RFQL3685 Round 1	372,500
		Renewable Heat NY, RFQL3685 Round 1	120,000
	3/12/2018	ENVIRONMENTAL RESEARCH, RFQL3685 Round 1	358,000
	3/16/2018	ENVIRONMENTAL RESEARCH, RFQL3685 Round 1	731,000
Network Experts of New York, Inc.		Renewable Heat NY, RFQL3685 Round 1	52,500
New Buildings Institute, Inc.	11/1/2017	NYSERDA ADMINISTRATION, Peoplesoft Development	200,000
	1/9/2018	NYSERDA ADMINISTRATION, Peoplesoft Development	24,440
New Buildings Institute, Inc.	1/29/2018	Code to Zero, Codes Enable: NYStretch-Energy	40,000
	2/26/2018	Code to Zero, Codes Enable: NYStretch-Energy	17,500
	3/13/2018	Code to Zero, Codes	66,680
		New Construction- Commercial, New Construction	109,992
		New Construction- Housing, New Construction	73,328
	3/21/2018	Prof & Expert Engagement, 2018 NBI Membership	25,000
New Savoy Park Porfolio LLC	10/12/2017	Multifam Performance Pgm, Multifamily	855,000
New York Battery and Energy Storage	3/6/2018	Combined Heat and Power, Attendance/exhibits for CHP	12,790
New York Bicycling Coalition	3/1/2018	CLEAN TRANSPORTATION, Training Course Development	49,433
New York City Housing Authority	2/7/2018	CLEANER GREENER COMMUNITIES, CGC56950 - NYC DEP	738,397
New York Power Authority,	12/11/2017	CLEAN TRANSPORTATION, Clean Transportation	600,000
New York Solar Solutions LLC	12/27/2017	<200KW PV, NY Sun	13,944
New York State Smart Grid Consortium ..	3/22/2018	Prof & Expert Engagement, Smart Grid Syst & Dist Eng Int	60,000
New York State Solar Farm Inc.	10/31/2017	<200KW PV, NY Sun	7,245
	11/2/2017	<200KW PV, NY Sun	5,265
	11/7/2017	<200KW PV, NY Sun	13,080
	3/26/2018	<200KW PV, NY Sun	5,670
New York University	11/20/2017	ADVANCED BUILDINGS, EFP1567 - New York University	184,600
NGenius Solutions Inc.	1/4/2018	NYSERDA ADMINISTRATION, SharePoint Online Consulting	7,000
Nickels Energy Solutions LLC	10/12/2017	<200KW PV, NY-Sun	5,816
NJP Consulting Inc.	12/13/2017	<200KW PV, NY-Sun	5,340
	1/30/2018	<200KW PV, NY-Sun	140
	3/13/2018	<200KW PV, NY Sun	22,320
	3/29/2018	<200KW PV, NY Sun	5,120
Noresco LLC	2/9/2018	Flexible Tech Assistance, FlexTech Consultant Selection	13,750
	2/23/2018	Flexible Tech Assistance, FlexTech Consultant Selection	16,907
North Shore Long Island Jewish Health ..	1/12/2018	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	21,551
Northeast Agriculture Technology Corp	11/3/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	3,966
Northeast Energy Efficiency Partnerships	3/14/2018	Code to Zero, NEEP 2017 Membership	10,000
		NextGen HVAC, NEEP 2017 Membership	10,000
Northeast States for Coordinated Air Use	11/17/2017	Environmental Research, NY climate clearinghouse	250,000
NORWICH - CHENANGO SOLAR, LLC	3/20/2018	>200KW PV, NY-Sun C&I	3,380,637

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
NORWICH - CHENANGO SOLAR, LLC	3/26/2018	>200KW PV, NY-Sun C&I	845,159
Novel Approaches Solar Applications, LLC	10/3/2017	<200KW PV, NY Sun	8,364
	10/4/2017	<200KW PV, NY Sun	5,390
	1/4/2018	<200KW PV, NY Sun	7,378
NY Delaware I, LLC	3/5/2018	>200KW PV, NY-Sun C/I	1,281,677
NYC Climate Action Alliance Inc.	2/23/2018	Commercial Real Estate Ten, NYC Climate Alliance - CT	50,000
NYC Partnership Housing Dev. Fund Co.	2/22/2018	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	156,250
Nye Automotive Group, Inc	3/6/2018	NYSERDA Administration	24,788
NYGB-CCRD Borrower, LLC	12/22/2017	NY Green Bank, CCR - Upsize #1	13,500,000
NYS Department of Health	12/12/2017	>200KW PV, NY Sun	89,836
NYS Office of General Services	10/23/2017	SARATOGA TECHNOLOGY & ENERGY PARK, OGS Services..	10,032
	2/13/2018	SARATOGA TECHNOLOGY & ENERGY PARK, STEP	26,964
NYS Office of Mental Health	10/3/2017	NEW CONSTRUCTION PROGRAM, NCP12785 - OMH Hutchin..	78,101
	2/21/2018	SMART GRID SYSTEMS, RFP 3044 R2	1,000,000
	2/28/2018	EXISTING FACILITIES, EFP2296 - NYS Office of Mental	147,960
NYS Office of Parks, Recreation and	12/12/2017	<200KW PV, NY Sun	35,947
	3/5/2018	<200KW PV, NY Sun	5,800
	3/29/2018	<200KW PV, NY Sun	11,904
NYS School Facilities Association, Inc.	10/2/2017	Workforce Industry Partnership, PON 3442 Workforce Training	400,000
NYS Technology Enterprise Corporation	1/31/2018	NYSERDA ADMINISTRATION, Internal Audit	55,044
NYSDEC	3/26/2018	WEST VALLEY DEVELOPMENT PROGRAM, WV-State Lics'd ..	300,000
NYU Langone Hospitals	1/30/2018	Workforce Industry Partnership, WFD for building O&M	400,000
	2/21/2018	Commercial New Construc, NCP15065 - NYU Hospitals Cente	109,568
O'Connell Electric Company	3/5/2018	<200KW PV, NY Sun	24,440
Oceanview Manor Acquisitions LLC	2/20/2018	Flexible Tech Assistance, FlexTech Program PON1746V3	5,133
OK Petroleum Distribution Corp	1/24/2018	FUEL NY, PGI00089 - OK Petroleum Distri	15,774
	3/13/2018	FUEL NY, PGI00092 - OK Petroleum Distri	7,935
Olena Butternut LLC	2/5/2018	Multifam Performance Pgm, Multifamily	25,200
OnForce Solar	10/27/2017	>200KW PV, NY Sun	805,344
	2/21/2018	>200KW PV, NY Sun	650,723
Onyx Renewable Partners, LP	10/2/2017	<200KW PV, NY Sun	443,600
	10/3/2017	<200KW PV, NY Sun	181,560
	10/4/2017	<200KW PV, NY Sun	57,860
	10/5/2017	<200KW PV, NY Sun	443,620
	10/10/2017	<200KW PV, NY Sun	43,760
	10/25/2017	<200KW PV, NY Sun	121,200
	12/7/2017	NYSERDA ADMINISTRATION, UPK Developer Licenses - 2	19,755
Oracle America, Inc.	1/12/2018	NYSERDA ADMINISTRATION, Peoplesoft - Oracle 2018/2019	53,598
	12/14/2017	NYSERDA ADMINISTRATION, Salesforce Backup Solution	18,630
OwnBackup Inc.	12/28/2017	>200KW PV, CGC31911 - Pace Law School	200,000
Pace University School of Law	1/4/2018	Flexible Tech Assistance, FlexTech Program - PON 1746	6,673
Palobueno Real Estate Corp.	2/13/2018	Flexible Tech Assistance, FlexTech Program - PON 1746	7,813
Paradise Energy Solutions, LLC	10/3/2017	<200KW PV, NY Sun	5,940
	10/23/2017	<200KW PV, NY Sun	8,750
	11/8/2017	<200KW PV, NY Sun	10,920
	11/14/2017	<200KW PV, NY Sun	5,313
	1/2/2018	<200KW PV, NY Sun	10,732
	2/27/2018	<200KW PV, NY Sun	65,000
	3/13/2018	<200KW PV, NY Sun	26,840
Pathstone Corporation	10/2/2017	Community Energy Engagement, CEEP Finger Lakes Region (..	390,000
People Community Housing Developme..	11/1/2017	NEW YORK ENERGY STAR HOMES, New Construction	77,000
People United for Sustainable Housing ..	10/25/2017	Community Energy Engagement, CEEP Western New York Reg..	600,000
Performance Systems Development	10/17/2017	NYSERDA ADMINISTRATION, TREAT SITE License 17.18	6,400
Peter Tavino PE PC	11/8/2017	Geothermal Incentive Program, Large-Scale GSHP Rebate	53,424
Petrecky Consulting LLC	3/16/2018	NYSERDA ADMINISTRATION, DOE OSW Consortium Proposal	35,000
Petrogas Group US Inc.	12/28/2017	FUEL NY, PGI00237 - Petrogas Group US I	27,500

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Pitney Bowes, Inc.	1/8/2018	NYSERDA ADMINISTRATION, Facilities Management	5,682
PlugPV, LLC	12/12/2017	<200KW PV, NY-Sun	9,573
	2/6/2018	<200KW PV, NY Sun	4,163
	2/26/2018	<200KW PV, NY Sun	2,100
PMG Northeast LLC	11/1/2017	FUEL NY, PGI00264 - PMG Northeast LLC	69,400
		FUEL NY, PGI00266 - PMG Northeast LLC	82,950
	11/17/2017	FUEL NY, PGI00019 - PMG Northeast LLC	4,296
		FUEL NY, PGI00080 - PMG Northeast LLC	18,795
		FUEL NY, PGI00120 - PMG Northeast LLC	20,438
	1/3/2018	FUEL NY, PGI00173 - PMG Northeast LLC	15,644
	1/10/2018	FUEL NY, PGI00137 - PMG Northeast LLC	32,807
	2/8/2018	FUEL NY, PGI00130 - PMG Northeast LLC	10,485
	3/2/2018	FUEL NY, PGI00192 - PMG Northeast LLC	17,237
	3/5/2018	FUEL NY, PGI00018 - PMG Northeast LLC	11,434
		FUEL NY, PGI00264 - PMG Northeast LLC	14,307
		FUEL NY, PGI00266 - PMG Northeast LLC	1,284
Port Jervis Solar Project One, LLC	10/27/2017	>200KW PV, NY Sun	119,980
Powder Mill Land Co., LLC	10/2/2017	Commercial Imp Assist, CIAP004 - Powder Mill Land Co.	34,818
		Commercial Imp Assist, CIAP005 - Powder Mill Land Co.	26,999
Powerlutions, LLC	12/27/2017	<200KW PV, NY Sun	6,174
President Container Group II, LLC	2/20/2018	Industrial Process Effic, Industrial Process Efficiency	29,203
Proenergy Consulting LLC	3/16/2018	SMART GRID SYSTEMS, Consulting NY Prize/Greenbank	64,350
Proven Energy Systems	1/11/2018	<200KW PV, NY Sun	5,808
Pterra, LLC	3/6/2018	DER Integration(Intrcnct), PON 3404 DER Integration	34,830
Pyramid Energy Engineering Services PLLC	11/30/2017	Renewable Heat NY, FlexTech Consultant Selection	143,000
	12/6/2017	Renewable Heat NY, FlexTech Consultant Selection	49,894
Quanta Technology LLC	11/10/2017	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	150,000
	11/21/2017	High Performing Grid, PON 3397 Round 2 - Category A	399,990
Quixotic Systems, Inc.	10/12/2017	<200KW PV, NY Sun	10,433
	12/28/2017	<200KW PV, NY Sun	25,056
	1/19/2018	<200KW PV, NY Sun	65,584
QwikSolar, LLC	10/2/2017	<200KW PV, NY-Sun	10,152
	10/4/2017	<200KW PV, NY Sun	5,472
	10/5/2017	<200KW PV, NY Sun	5,472
	10/12/2017	<200KW PV, NY Sun	5,376
	10/25/2017	<200KW PV, NY Sun	5,985
	2/6/2018	<200KW PV, NY-Sun	6,689
	2/22/2018	<200KW PV, NY-Sun	9,681
	1/3/2018	<200KW PV, NY Sun	10,150
R & B Qualtiy Electric, Inc.	10/23/2017	Real Time Enrgy Management, CardinalHS-650 Grand Conc-R..	19,560
Randstad North America, Inc.	10/4/2017	NEW YORK GREEN BANK, Temporary Services	2,201
	10/17/2017	NEW YORK GREEN BANK, Temporary Services	84,500
	10/18/2017	ENERGY ANALYSIS, Temp Services Contract.	15,000
		EVALUATION, Temp Services	30,000
		NYSERDA ADMINISTRATION, temp services	116,650
		NYSERDA ADMINISTRATION, Temp Services Contract.	34,500
	10/19/2017	>200KW PV, Temp Services Contract.	20,000
		NY-SUN, Temp Services Contract.	23,000
	10/26/2017	ENVIRONMENTAL RESEARCH, Temp Services Contract.	5,783
		NYSERDA ADMINISTRATION, temp services	78,000
		NYSERDA ADMINISTRATION, Temp Services Contract.	18,217
	11/16/2017	NYSERDA ADMINISTRATION, Temp Services Contract.	53,000
	11/21/2017	ENERGY ANALYSIS, Temporary Services	14,630
		NYSERDA ADMINISTRATION, Temp Services Contract.	23,000
		NYSERDA ADMINISTRATION, Temporary Services	43,890
	11/22/2017	NEW YORK GREEN BANK, Temp Services	164,500

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Randstad North America, Inc.	11/28/2017	NYSERDA ADMINISTRATION, Temp Services Contract.	20,000
	12/1/2017	ENERGY ANALYSIS, Temp Services Contract.	22,000
		NY-SUN, Temporary Services	25,000
	12/4/2017	Home Perf w Energy Star, Temp Services Contract.	3,982
		NYSERDA ADMINISTRATION, temp services	70,525
		NYSERDA ADMINISTRATION, Temp Services Contract.	15,373
		NYSERDA ADMINISTRATION, Temporary Services	116,250
		Residential-Engaging New Mkts, Temp Services Contract.	3,645
	12/12/2017	NYSERDA ADMINISTRATION, Temp Services Contract.	19,745
	12/14/2017	NYSERDA ADMINISTRATION, Renewable Optimz Energy Stor..	16,000
	12/18/2017	NYSERDA ADMINISTRATION, Temp Services Contract.	40,000
	12/19/2017	NEW YORK GREEN BANK, Green Bank	50,000
		NEW YORK GREEN BANK, Temporary Services	121,000
		NYSERDA ADMINISTRATION, Temp Services Contract.	22,000
	12/20/2017	NY-SUN, temp services	69,000
		NYSERDA ADMINISTRATION, Temporary Services	45,500
	12/28/2017	NYSERDA ADMINISTRATION, Temp Services Contract.	20,000
	12/29/2017	NYSERDA ADMINISTRATION, Temporary Services	75,000
	1/10/2018	Multifam Performance Pgm, Temp Services Contract.	4,802
		NYSERDA ADMINISTRATION, Temp Services Contract.	18,198
	1/24/2018	EVALUATION, Temp Services	60,000
		NYSERDA ADMINISTRATION, Temp Services Contract.	10,800
	1/25/2018	NYSERDA ADMINISTRATION, Temp Services Contract.	20,000
		NYSERDA ADMINISTRATION, temporary services	59,000
	1/26/2018	NEW YORK GREEN BANK, Temporary Services	204,225
	2/14/2018	NY-SUN, Temporary Services	57,250
	2/20/2018	NYSERDA ADMINISTRATION, Temporary Services	12,496
	3/7/2018	Home Perf w Energy Star, Single Family Residential	50,000
		Multifam Performance Pgm, Multifamily	50,000
	3/12/2018	NYSERDA ADMINISTRATION, Temp Services Contract.	25,000
	3/22/2018	NYSERDA ADMINISTRATION, Temp Services	75,650
Red Hook Solar Corp	10/23/2017	<200KW PV, NY Sun	64,994
	11/9/2017	<200KW PV, NY Sun	64,994
	11/21/2017	<200KW PV, NY Sun	64,994
Regeneron Pharmaceuticals Inc.	2/22/2018	>200KW PV, NY Sun	624,240
Regional Economic Models, Inc	10/12/2017	ENERGY ANALYSIS, Modeling and Analytics	6,000
Regional Greenhouse Gas Initiative, Inc.	2/2/2018	ENERGY ANALYSIS, 2018 RGGI Funding Agreement	930,605
Related Management Company LP	12/11/2017	Workforce Industry Partnership, PON 3442 BOM Training Progr..	398,557
Renovus Energy, Inc.	10/10/2017	<200KW PV, NY Sun	8,750
	10/26/2017	<200KW PV, NY Sun	11,968
	11/27/2017	<200KW PV, NY Sun	14,812
	12/4/2017	<200KW PV, NY Sun	18,000
	12/15/2017	<200KW PV, NY Sun	8,677
	12/18/2017	<200KW PV, NY Sun	20,030
	12/27/2017	<200KW PV, NY Sun	64,940
	1/17/2018	<200KW PV, NY Sun	8,442
	1/26/2018	<200KW PV, NY Sun	5,145
	3/26/2018	<200KW PV, NY Sun	5,159
Rensselaer Polytechnic Institute	10/10/2017	Workforce Industry Partnership, PON 3442 Workforce Training	25,596
RER Energy Group LLC	1/16/2018	>200KW PV, NY Sun	26,513
Research Foundation of CUNY	10/31/2017	CLEAN TRANSPORTATION, Virtual TMA Demo	200,000
	12/11/2017	CLEAN TRANSPORTATION, CAVs Impacts Study	149,990
	2/8/2018	NY-SUN, Affordable Solar NYCHA Commerc	130,700
Research Foundation of The City	10/4/2017	Workforce Industry Partnership, BOM Pilot - Building Re-tuning	27,786
	10/23/2017	ENVIRONMENTAL RESEARCH, Coastal monitoring framework	284,429
	2/2/2018	Workforce Industry Partnership, BOM Pilot	49,449

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Research Into Action, Inc.	10/30/2017	REVitalize, Research Into Action TWO	27,826
	1/19/2018	Cleantech Startup Growth, Research Into Action TWO	7,000
Resource Systems Group, Inc.	12/5/2017	CLEAN TRANSPORTATION, PON 3345	120,000
Restaurant Associates, LLC	10/13/2017	Combined Heat and Power, Catering Svs. for CHP Event	8,575
Riseboro Community Partnership, Inc.	10/16/2017	Workforce Industry Partnership, PON 3442 Workforce Training	243,090
Robert Derector Associates	3/8/2018	Commercial Real Estate Ten, Robert Derector-300VeseySt-CT	10,750
	3/28/2018	Commercial Real Estate Ten, Robert Derector-205 W39thSt-CT	20,250
		Commercial Real Estate Ten, Robert Derector-645 5th Ave-CT	28,000
Rochester Steel Treating Works	11/1/2017	Industrial Process Effic, Industrial Process Efficiency	30,050
Rocky Mountain Institute	1/16/2018	Commercial HVAC, Digital Solutions Research	50,000
Rome Housing Authority	12/28/2017	Multifam Performance Pgm, Multifamily	58,100
Rosenblum Property Services, LLC	2/6/2018	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Propert..	161,850
	3/16/2018	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Propert..	12,163
Rural Ulster Preservation Company	10/3/2017	CLEANER GREENER COMMUNITIES, CGC54322 - RUPCO	1,000,000
	10/17/2017	GJGNY REVOLVING LOAN FUND, Green Jobs Green New Yo..	90,000
	3/22/2018	Low Rise New Construction, New Construction	196,700
SAF NY Realty Co., LLC	2/14/2018	Industrial Process Effic, Industrial Process Efficiency	140,041
Safari Energy LLC	1/10/2018	>200KW PV, NY Sun	925,775
	1/16/2018	<200KW PV, NY Sun	40,720
	1/25/2018	<200KW PV, NY Sun	40,720
	2/26/2018	<200KW PV, NY Sun	56,080
Saint Gobain Adfors America, Inc.	1/17/2018	Industrial Process Effic, Industrial Process Efficiency	270,451
Saratoga Springs Housing Authority	10/2/2017	Multifam Performance Pgm, Multifamily	83,600
Scott Shipley	11/16/2017	<200KW PV, NY Sun	5,490
Sea Bright Solar, LLC	3/6/2018	<200KW PV, NY Sun	23,328
	3/7/2018	<200KW PV, NY Sun	6,912
Seed Renewables Inc.	3/29/2018	<200KW PV, NY Sun	9,460
SHI, Inc.	1/4/2018	NYSERDA ADMINISTRATION, Embarcadero Renewal 2018-20..	13,971
	1/25/2018	NYSERDA ADMINISTRATION, ADA-Compliance Subscription	15,544
	3/6/2018	NYSERDA ADMINISTRATION, Renewal - Adobe Creative Cloud	9,848
Shutterstock, Inc.	10/4/2017	NYSERDA ADMINISTRATION, WebDAM photo library subscripti	8,581
Silver Lining Solar	12/4/2017	<200KW PV, NY Sun	22,848
	1/17/2018	<200KW PV, NY Sun	162
Silver Spring Solar LLC	10/3/2017	>200KW PV, NY Sun	611,982
Sive Paget & Riesel PC	10/23/2017	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 & RF..	10,000
	11/14/2017	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 & RF..	4,864
	12/5/2017	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 & RF..	15,000
	1/24/2018	Off-Shore Wind Master Plan, RFP 3300 & RFP 3776 Outside Co	100,000
Skyven Technologies, LLC	11/7/2017	OTHER PROGRAM AREA, Technology to Market	1,000,000
Smarter Grid Solutions, Inc.	10/30/2017	High Performing Grid, PON 3397 Round 2 - Category B	400,000
SMG Partners	12/4/2017	Low-Income Forum on Energy, LIFE 2018 Statewide Conference	5,850
Smith Engineering PLLC	10/26/2017	Flexible Tech Assistance, FlexTech Consultant Selection	27,390
	10/31/2017	Commercial Real Estate Ten, Smith Enignee-1330 AoA-CommT..	39,960
	2/12/2018	Flexible Tech Assistance, FlexTech Consultant Selection	16,298
	3/20/2018	Flexible Tech Assistance, FlexTech Consultant Selection	42,333
Snow Economics, Inc.	10/2/2017	Industrial Process Effic, Industrial Process Efficiency	28,488
	12/11/2017	Industrial Process Effic, Industrial Process Efficiency	30,115
Solar Dad and Sons Inc	2/20/2018	<200KW PV, NY Sun	105,629
Solar Generation, Inc.	10/11/2017	<200KW PV, NY Sun	8,280
Solar Home NJ	1/31/2018	<200KW PV, NY Sun	5,504
Solar Liberty Energy Systems, Inc	10/27/2017	<200KW PV, NY Sun	6,432
		>200KW PV, NY Sun	76,822
	11/7/2017	<200KW PV, NY Sun	1,874
	11/10/2017	<200KW PV, NY Sun	10,050
	11/13/2017	<200KW PV, NY Sun	5,150
		<200KW PV, NY-Sun	924

Contracts Executed

Period 10/1/2017 through 3/31/2018

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Solar Liberty Energy Systems, Inc	12/15/2017	<200KW PV, NY Sun	5,922
	1/10/2018	>200KW PV, NY Sun	99,379
	1/31/2018	<200KW PV, NY Sun	116,000
	2/28/2018	<200KW PV, NY Sun	8,932
	3/5/2018	<200KW PV, NY Sun	10,044
Solar Plumbing Design Inc	10/5/2017	<200KW PV, NY Sun	24,768
Solar Promotion International GmbH	3/29/2018	NY-SUN, 2018 Intersolar	20,000
Solar Provider Group LLC	10/3/2017	>200KW PV, NY Sun	136,387
	10/30/2017	>200KW PV, NY Sun	245,497
	11/1/2017	>200KW PV, NY Sun	549,357
SolarCity Corporation	10/17/2017	<200KW PV, NY Sun	327
	10/26/2017	<200KW PV, NY Sun	11,885
	11/7/2017	<200KW PV, NY Sun	645
	11/15/2017	<200KW PV, NY Sun	10,356
	1/5/2018	<200KW PV, NY Sun	5,072
	2/8/2018	<200KW PV, NY Sun	6,397
	2/27/2018	<200KW PV, NY Sun	5,233
SolarKal LLC	10/31/2017	OTHER PROGRAM AREA, Technology to Market	250,000
Soldier On, Inc.	1/8/2018	Low Rise New Construction, New Construction	56,000
Sound Geothermal Corporation	10/12/2017	Geothermal Incentive Program, GEO Inspector Training	17,085
Southport, LLC	10/3/2017	>200KW PV, NY Sun	447,886
Spencer-Tioga Solar, LLC	3/20/2018	>200KW PV, NY-Sun C&I	2,091,769
	3/26/2018	>200KW PV, NY-Sun C&I	4,447,650
	3/27/2018	>200KW PV, NY-Sun C&I	1,045,884
St. Ann's Community	10/20/2017	Commercial Imp Assist, CIAP003 - St. Ann's Community	64,000
Stantec Consulting Services, Inc.	2/23/2018	Industrial Process Effic, Technical Review and Program S	7,890
	2/26/2018	Industrial Process Effic, Technical Review and Program S	5,546
Steven Winter Associates, Inc.	12/7/2017	Real Time Enrgy Management, Dunn Dev-1212 MLK Blvd-RTEM	7,897
		Real Time Enrgy Management, KibelCompanies-90 West St-RT..	59,696
	12/18/2017	Low Rise New Construction, Technical Review and Program S	22,500
		Multifam New Construction, Technical Review and Program S	22,500
	12/27/2017	Real Time Enrgy Management, Cabrini Te-900 W 190th St-RTE..	11,365
	1/3/2018	Real Time Enrgy Management, FS Energy-220 E 54th St-RTEM	11,220
	1/5/2018	Workforce Industry Partnership, NYC Retrofit Demo	49,830
	1/22/2018	Real Time Enrgy Management, Kibel-300 East 51st St-RTEM	8,000
Sun Source Technologies	10/2/2017	<200KW PV, NY Sun	37
	10/3/2017	<200KW PV, NY Sun	16,596
	10/10/2017	<200KW PV, NY Sun	9,900
	10/17/2017	<200KW PV, NY Sun	720
	10/23/2017	<200KW PV, NY-Sun	7,200
	11/2/2017	<200KW PV, NY Sun	5,760
	11/8/2017	<200KW PV, NY-Sun	5,775
	11/13/2017	<200KW PV, NY Sun	1,079
	12/19/2017	<200KW PV, NY Sun	5,023
	2/6/2018	<200KW PV, NY Sun	7,350
SuNation Solar Systems, Inc.	11/2/2017	<200KW PV, NY Sun	108,916
	11/8/2017	<200KW PV, NY Sun	25,909
	12/14/2017	<200KW PV, NY Sun	111,288
	2/8/2018	<200KW PV, NY Sun	232,000
	3/12/2018	<200KW PV, NY Sun	12,450
	3/23/2018	<200KW PV, NY Sun	117
	3/27/2018	<200KW PV, NY Sun	198
Sunlight Beacon LLC	11/9/2017	NY Green Bank, BQ Energy - Beacon	3,070,000
Sunnova Energy Corp	10/25/2017	<200KW PV, NY Sun	5,040
	11/1/2017	<200KW PV, NY Sun	7,056
	11/21/2017	<200KW PV, NY Sun	5,376

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Sunnova Energy Corp	11/22/2017	<200KW PV, NY Sun	5,130
	3/13/2018	<200KW PV, NY Sun	5,280
SunPower Capital, LLC	10/12/2017	<200KW PV, NY Sun	12,826
	10/16/2017	<200KW PV, NY Sun	15,292
	10/26/2017	<200KW PV, NY Sun	5,274
	10/31/2017	<200KW PV, NY Sun	6,158
	11/2/2017	<200KW PV, NY Sun	13,783
	11/7/2017	<200KW PV, NY Sun	8,040
	11/8/2017	<200KW PV, NY Sun	5,454
	11/9/2017	<200KW PV, NY Sun	11,088
	11/15/2017	<200KW PV, NY Sun	5,760
	11/20/2017	<200KW PV, NY Sun	5,069
	11/21/2017	<200KW PV, NY Sun	17,315
	11/30/2017	<200KW PV, NY Sun	18,387
	12/4/2017	<200KW PV, NY Sun	14,369
	12/7/2017	<200KW PV, NY Sun	12,419
	12/11/2017	<200KW PV, NY Sun	5,472
	12/18/2017	<200KW PV, NY Sun	6,912
	12/27/2017	<200KW PV, NY Sun	25,200
	12/28/2017	<200KW PV, NY Sun	5,184
	1/2/2018	<200KW PV, NY Sun	11,213
	1/3/2018	<200KW PV, NY Sun	7,245
	1/23/2018	<200KW PV, NY Sun	5,292
	2/8/2018	<200KW PV, NY Sun	6,480
	3/13/2018	<200KW PV, NY Sun	7,004
	3/26/2018	<200KW PV, NY Sun	6,552
	3/27/2018	<200KW PV, NY Sun	7,344
SUNRISE ELECTRICAL SERVICES	10/10/2017	<200KW PV, NY Sun	116,000
	10/11/2017	<200KW PV, NY Sun	95,309
	10/17/2017	<200KW PV, NY Sun	16,718
	10/23/2017	<200KW PV, NY Sun	65,568
	11/2/2017	<200KW PV, NY-Sun	5,119
	1/2/2018	<200KW PV, NY Sun	116,000
	1/23/2018	<200KW PV, NY Sun	128,372
	1/30/2018	<200KW PV, NY Sun	111,594
	2/1/2018	<200KW PV, NY Sun	103,706
	2/5/2018	<200KW PV, NY Sun	161,450
	2/20/2018	<200KW PV, NY Sun	316,340
		<200KW PV, NY-Sun	5,119
	2/21/2018	<200KW PV, NY Sun	142,000
	2/22/2018	<200KW PV, NY Sun	44,919
	3/5/2018	<200KW PV, NY Sun	55,648
	3/12/2018	<200KW PV, NY Sun	204,669
Sunrise Solar Solutions, LLC	11/14/2017	<200KW PV, NY Sun	44,580
	12/7/2017	<200KW PV, NY Sun	5,494
	12/13/2017	<200KW PV, NY Sun	5,130
	1/2/2018	<200KW PV, NY Sun	20,280
	1/17/2018	<200KW PV, NY Sun	20,520
SunRun, Inc	10/4/2017	<200KW PV, NY Sun	5,280
	10/10/2017	<200KW PV, NY Sun	1,160
	10/31/2017	<200KW PV, NY Sun	41
	11/2/2017	<200KW PV, NY Sun	5,676
	11/16/2017	<200KW PV, NY Sun	6,293
	1/24/2018	<200KW PV, NY Sun	5,481
	2/2/2018	<200KW PV, NY Sun	6,726
	2/21/2018	<200KW PV, NY Sun	5,426

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
SunRun, Inc	3/2/2018	<200KW PV, NY Sun	7,638
Sunset Green Home LLC	12/6/2017	NEW YORK GREEN BANK, Third-Party Capital Consulting	200,000
SunVest, Solar INC	1/17/2018	<200KW PV, NY Sun	20,670
	2/26/2018	<200KW PV, NY Sun	17,550
SUNY - ESF	11/7/2017	REV Campus Challenge, RM2 - SUNY ESF	139,868
SUNY Brockport	12/1/2017	REV Campus Challenge, RM9 - SUNY Brockport College	81,978
SUNY Oneonta	12/26/2017	Commercial New Construc, NCP15020 - Macduff Hall	29,248
	3/12/2018	REV Campus Challenge, RM16 - SUNY Oneonta	150,000
SUNY Oswego	3/9/2018	REV Campus Challenge, RM17 - SUNY Oswego	154,000
Sustainable Energy Advantage, LLC	10/16/2017	REC:CES REC System Dev Costs, Large Scales Renewables T..	246,611
	10/24/2017	Off-Shore Wind Pre-Dev Act, Large Scales Renewables Techni	150,000
	10/26/2017	REC:CES REC System Dev Costs, Large Scales Renewables T..	75,000
		ZEC:CES ZEC System Dev Costs, Large Scales Renewables T..	75,000
	10/27/2017	REC:CES REC Pgm Non-Rec Exp, Large Scales Renewables T..	78,000
	11/3/2017	ENERGY ANALYSIS, Large Scales Renewables Techni	3,750
	2/9/2018	REC:CES REC System Dev Costs, Large Scales Renewables T..	17,366
Sustainable Energy Developments Inc.	12/6/2017	<200KW PV, NY Sun	5,124
	12/12/2017	<200KW PV, NY Sun	5,551
	1/11/2018	<200KW PV, NY Sun	31,040
	1/24/2018	<200KW PV, NY Sun	6,085
	1/31/2018	<200KW PV, NY Sun	8,113
	2/16/2018	<200KW PV, NY Sun	5,444
	3/30/2018	<200KW PV, NY Sun	5,733
Switched Source LLC	12/28/2017	High Performing Grid, PON 3397 Round 2 - Category D	208,761
Sylvania Lighting Services Corp	1/30/2018	EXISTING FACILITIES, EFP2629 - Sylvania Lighting	15,461
Syracuse University	3/6/2018	Low Rise New Construction, 2018 Multifamily Summit	5,000
		Multifam New Construction, 2018 Multifamily Summit	5,000
		Multifam Performance Pgm, 2018 Multifamily Summit	40,000
Systems Management Planning, Inc.	10/27/2017	NetApp 2620 Storage Array	27,278
	1/25/2018	NYSERDA ADMINISTRATION, VMWare AirWatch - 2018-2019	6,315
	3/23/2018	NYSERDA ADMINISTRATION, Webex Services - 2018 - 2019	20,511
T.A.R. Catering	2/23/2018	Flexible Tech Assistance, FlexTech	13,630
Taitem Engineering, P.C.	10/19/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,500
	11/3/2017	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	11/16/2017	Industrial Process Effic, Technical Review and Program S	4,084
	1/26/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
	1/29/2018	Flexible Tech Assistance, FlexTech Consultant Selection	16,510
		Industrial Process Effic, Technical Review and Program S	3,698
	3/8/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
Tarm, USA	2/23/2018	ENVIRONMENTAL RESEARCH, Tarm USA pellet boiler testing	22,000
Tech Valley Talent, LLC	11/1/2017	NYSERDA ADMINISTRATION, Staff Augmentation	175,000
	11/6/2017	NYSERDA ADMINISTRATION, Staff Augmentation	208,650
	1/11/2018	NYSERDA ADMINISTRATION, SecureAuth - 2018 Renewal	14,754
	2/28/2018	NYSERDA ADMINISTRATION, Staff Augmentation	196,875
Tecogen	10/3/2017	Combined Heat and Power, CHPA - 3333 Broadway	760,000
	12/11/2017	COMBINED HEAT AND POWER, CHPA - 205 East 92nd Street	350,000
		Combined Heat and Power, CHPA - 1249 Park Ave	171,000
		Combined Heat and Power, CHPA - 34-46 Vernon East	171,000
	12/18/2017	Combined Heat and Power, CHPA - 34-46 Vernon West	171,000
		Combined Heat and Power, CHPA - Amherst	388,125
		Combined Heat and Power, CHPA - Lakeside Towers	201,094
		Combined Heat and Power, CHPA - Metropolitan Detention	346,500
		Combined Heat and Power, CHPA - Regent Hospitality	332,500
	12/26/2017	Combined Heat and Power, CHPA - 60 Sutton Place	426,938
		Combined Heat and Power, CHPA - 555 West 23rd St	346,500
	1/3/2018	Combined Heat and Power, CHPA - 215 Pearl St	171,000

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Terry Light	11/14/2017	Low Rise New Construction, New Construction	5,000
The American Institute of Architects	1/3/2018	Code to Zero, AIA Conference on Architecture	1,186
		Combined Heat and Power, AIA Conference on Architecture	1,186
		Environmental Research, AIA Conference on Architecture	1,186
		Geothermal Incentive Program, AIA Conference on Architecture	1,186
		Multifam New Construction, AIA Conference on Architecture	1,186
		Multifam Performance Pgm, AIA Conference on Architecture	1,186
		Rmve Barriers Dist Enrgy Storg, AIA Conference on Architecture	1,186
The Bonadio Group	10/13/2017	NYSERDA ADMINISTRATION, data analysis extraction	9,000
The Cadmus Group, LLC	1/26/2018	Commercial Real Estate Ten, RFQ 3183 The Camdus Group Inc	246,792
	3/14/2018	Real Time Enrgy Management, RFQ 3183 The Camdus Group I..	100,000
The Center for New York City	11/6/2017	Community Energy Engagement, CEEP New York City Region (..	824,970
The Cooper Union for the Advancement..	10/25/2017	Workforce Industry Partnership, Workforce Dev & Train	167,671
The Greek School of Plato	2/21/2018	Commercial New Construc, NCP16004 - New Greek School	56,107
The Gunlocke Company	10/30/2017	Industrial Process Effic, Industrial Process Efficiency	342,301
The Initiatives Group	3/8/2018	Electric Vehicles - Innovation, HEVO Executive Training	50,000
The Logue Group	10/16/2017	WEST VALLEY DEVELOPMENT PROGRAM, WV- Demonstrati..	413,446
The Radiant Store	11/3/2017	Renewable Heat NY, The Radiant Store - Biosclair	10,000
	2/15/2018	Renewable Heat NY, The Radiant Store - Tesla	5,000
The Renewables Consulting Group, LLC	12/6/2017	Off-Shore Wind Master Plan, RFP 3462	277,590
The Research Foundation for SUNY	11/16/2017	CLEAN TRANSPORTATION, Autonomous EV Campus Demo	452,361
The Research Foundation for the State	10/13/2017	Next Gen Pwr Electronics(PEMC), NY Power Electronics Manuf	16,700,000
		OTHER PROGRAM AREA, NY Power Electronics Manuf	6,300,000
	3/9/2018	Environmental Research, EMEP Air Quality Research	2,488,125
	3/16/2018	High Performing Grid, PON 3397 Round 2 - Category A	384,138
		RENEWABLE HEAT NY, Lignocellulosic pellets	60,756
The Research Foundation of SUNY at Bing	1/9/2018	Cleantech Geo Coverage, PON3413 Clean Energy Incubator	200,000
		Cleantech Incubator, PON3413 Clean Energy Incubator	0
The RF of SUNY Binghamton University	10/25/2017	High Performing Grid, PON 3397 Round 2 - Category A	379,665
The Trustees of Columbia University	12/8/2017	OTHER PROGRAM AREA, PON 3249 ACE Electrofuels	935,030
The Weidt Group, Inc.	10/16/2017	Real Time Enrgy Management, Environ-257 Park Ave S-RTM	35,273
	12/6/2017	Commercial New Construc, EMP - Weidt	14,950
	3/5/2018	Real Time Enrgy Management, Environ-257 Park Ave S-RTM	7,838
Theron Jay Egg, Jr.	12/27/2017	Geothermal Incentive Program, GSHP Training Series 2017	3,000
Time Warner	10/19/2017	Industrial Process Effic, Industrial Process Efficiency	6,865
Tompkins Community Action	11/8/2017	Multifam New Construction, MFNCP - Amici House	23,000
Town of Bethlehem	11/27/2017	Clean Energy Communities, CEC400006 - Town of Bethlehem	100,000
Town of Busti	2/23/2018	Clean Energy Communities, CEC101460 - Town of Busti	100,000
Town of Chester	11/28/2017	ADVANCED BUILDINGS, Biomass Steam Boiler System	50,000
Town of East Hampton	3/7/2018	CLEANER GREENER COMMUNITIES, Town of East Hampton	100,000
Town of Ellicott	11/29/2017	Clean Energy Communities, CEC101457 - Town of Ellicott	0
		CLEANER GREENER COMMUNITIES, CEC101457 - Town of ..	85,181
Town of Grand Island	3/26/2018	COMMUNITY SOLAR, Solarize 2018	5,000
Town of New Castle	3/21/2018	CLEANER GREENER COMMUNITIES, Town of New Castle	100,000
Town of Niskayuna	1/24/2018	Clean Energy Communities, Town of Niskayuna	99,500
Town of Red Hook	3/22/2018	Clean Energy Communities, CEC500662 - Town of Red Hook	100,000
Town of Southold	2/20/2018	CLEANER GREENER COMMUNITIES, Town of Southold	100,000
Town of Starkey	3/27/2018	Clean Energy Communities, Town of Starkey	100,000
Trane	10/4/2017	Real Time Enrgy Management, KingsTheater-1027Flatbush-RT..	17,753
	10/6/2017	Real Time Enrgy Management, FCRC-15 Metrotech-RTM	101,829
		Real Time Enrgy Management, Mosholu-3450 Dekalb Ave-RTM	114,623
	10/27/2017	Real Time Enrgy Management, Hines - 375 Hudson St - RTM	12,262
	11/10/2017	Real Time Enrgy Management, Remsen CSD-9733 Main St-RT..	92,207
	12/1/2017	EXISTING FACILITIES, EFP1944 - Trane; Wayne County	2,933
	12/6/2017	Real Time Enrgy Management, Commonwealth-787 7th Ave-RT..	13,871
	1/3/2018	Real Time Enrgy Management, St Ann'sWarehou-45WaterSt-R..	5,619

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Trane	1/17/2018	Real Time Enrgy Management, CBRE-200 W 41st St-RTEM	119,598
	2/20/2018	Real Time Enrgy Management, The London Hotel-151 W 54-RT..	116,950
	3/8/2018	Real Time Enrgy Management, Trane-2130 McDonald Ave-RTE..	49,599
TRC Energy Services	1/5/2018	Commercial Real Estate Ten, Technical Review and Program S	52,650
		EXISTING FACILITIES, Technical Review and Program S	36,000
		Flexible Tech Assistance, Technical Review and Program S	77,500
		FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and ..	77,500
		Real Time Enrgy Management, Technical Review and Program S	106,350
	2/5/2018	ADVANCED BUILDINGS, Technical Review and Program S	12,475
		ENVIRONMENTAL RESEARCH, Technical Review and Progra..	49,750
	2/22/2018	>200KW PV, Staff Augmentation Services	164,453
	2/27/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	3/8/2018	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	7,500
		Commercial Real Estate Ten, TRC Energy Soluti-Multisite-CT	20,000
Tremont Apartments Housing Develop..	3/14/2018	Multifam Performance Pgm, Multifamily	23,800
Triangle Electrical Systems, Inc.	10/17/2017	<200KW PV, NY-Sun	6,230
	1/4/2018	<200KW PV, NY Sun	144
Trinity Heating & Air, Inc.	10/23/2017	<200KW PV, NY Sun	8,628
	2/21/2018	<200KW PV, NY Sun	10,000
Troy Web Consulting, LLC	12/14/2017	NYSERDA ADMINISTRATION, Troy Web Hosting - Cloud	7,020
Tully Rinckey PLLC	2/21/2018	NYSERDA ADMINISTRATION, outside counsel services	5,000
U.S. Department of Energy/Wv	10/30/2017	FFY 2018 WVDP Cost Share	9,600,000
Unchained Properties, LLC	3/19/2018	CLEANER GREENER COMMUNITIES, CGC55124 - Unchaine..	1,500,000
Union College	10/12/2017	REV Campus Challenge, RM8 - Union College	150,000
Unique Comp Inc.	10/11/2017	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	165,750
	11/6/2017	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	251,680
	1/25/2018	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	165,750
	1/26/2018	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	205,725
	2/16/2018	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	218,400
Unique Technical Services, LLC	2/26/2018	CLEAN TRANSPORTATION, Advanced Transportation Tech	421,432
		Pub Transit & Elect Rail, Advanced Transportation Tech	54,000
United Way of Long Island	11/15/2017	OTHER PROGRAM AREA, CEEP Long Island (UWLI)	420,000
Unity Health System	10/2/2017	Commercial Imp Assist, CIAP013 - Unity Hospital	150,000
University at Albany	1/8/2018	Commercial New Construc, NCP15013 - Building 27	43,945
	1/30/2018	Commercial New Construc, NCP15012 - ETEC	233,427
	3/19/2018	Geothermal Incentive Program, GSHP Incentve	500,000
University of Rochester	11/13/2017	ENVIRONMENTAL RESEARCH, Air Quality & Hlth Effects	175,778
Upstate Venture Connect	10/2/2017	OTHER PROGRAM AREA, Technology to Market	49,000
	3/21/2018	Prof & Expert Engagement, UVC Sponsorship	25,000
Urban Homesteading Assistance Inc	3/16/2018	NY-SUN, Affordable Solar Predev UHAB	143,925
US Energy Concierge Inc	10/31/2017	<200KW PV, NY Sun	5,513
Utilities Program & Metering, Inc.	2/20/2018	Real Time Enrgy Management, Utilities-160 E 53rd St-RTEM	47,431
	3/21/2018	Real Time Enrgy Management, Utilivisor-327 E 64th St-RTEM	30,528
Van Nostrand Energy & Environmental	1/2/2018	Mkt Char: Tech Assist, Policy Development Services	200,000
Vanguard Printing LLC	11/9/2017	Industrial Process Effic, Industrial Process Efficiency	12,264
Varun Sivaram	10/20/2017	ENERGY ANALYSIS, Policy & Regulatory Affairs	49,025
Vecino Group New York, LLC	2/14/2018	Low Rise New Construction, New Construction	74,600
Venture at Endicott LLC	12/5/2017	Multifam Performance Pgm, Multifamily	47,600
Venture Home Solar LLC	10/24/2017	<200KW PV, NY Sun	5,017
	11/7/2017	<200KW PV, NY Sun	5,520
	12/6/2017	<200KW PV, NY Sun	5,520
	12/27/2017	<200KW PV, NY Sun	6,624
	2/22/2018	<200KW PV, NY Sun	5,472
	3/27/2018	<200KW PV, NY Sun	5,755
Verizon Communications Inc	2/26/2018	Industrial Process Effic, Industrial Process Efficiency	39,054
Vermont Energy Investment Corporation	10/6/2017	CLEAN TRANSPORTATION, NYS EV School Bus Education	29,997

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Vermont Energy Investment Corporation	11/10/2017	Air Source Heat Pumps, Renewable Heating Cooling TA	50,000
	2/28/2018	Industrial Process Effic, Technical Review and Program S	9,426
	3/7/2018	Net Zero Energy Modular Homes, Technical Review and Progra..	119,992
	3/8/2018	Industrial Process Effic, Technical Review and Program S	4,772
Vidaris, Inc.	10/12/2017	Commercial New Construc, Vidaris - EMP	60,105
	11/9/2017	Commercial New Construc, Vidaris - EMP	39,250
	2/20/2018	Flexible Tech Assistance, FlexTech Consultant Selection	15,715
Village of Boonville	1/24/2018	CLEANER GREENER COMMUNITIES, Village of Boonville	100,000
Village of Canton	3/19/2018	Clean Energy Communities, Village of Canton	100,000
Village of Croton-on-Hudson	12/21/2017	CLEANER GREENER COMMUNITIES, CEC500633 - Croton-o..	50,000
Village of Falconer	1/24/2018	CLEANER GREENER COMMUNITIES, Village of Falconer	50,000
Village of Minoa	2/12/2018	Clean Energy Communities, CEC200170-Village of Minoa	100,000
Viola Homes Inc.	11/22/2017	<200KW PV, NY Sun	5,494
	2/22/2018	<200KW PV, NY Sun	16,742
Vivint Solar	10/2/2017	<200KW PV, NY Sun	5,684
	11/20/2017	<200KW PV, NY Sun	5,887
	11/21/2017	<200KW PV, NY Sun	5,075
	12/6/2017	<200KW PV, NY Sun	5,392
	12/7/2017	<200KW PV, NY Sun	5,846
	12/18/2017	<200KW PV, NY Sun	5,380
	1/18/2018	<200KW PV, NY Sun	10,889
	3/5/2018	<200KW PV, NY Sun	6,309
Voltaic Solaire LLC	11/15/2017	<200KW PV, NY Sun	10,376
W & E Phillips Locksmith, Inc	10/27/2017	NYSERDA ADMINISTRATION, Facilities Management	6,430
WB Heritage Pointe Associates, LLC	11/3/2017	Multifam Performance Pgm, Multifamily	57,400
Wendel Energy Services, LLC	10/3/2017	Flexible Tech Assistance, FlexTech Consultant Selection	30,000
	10/20/2017	Industrial Process Effic, Technical Review and Program S	5,813
	12/20/2017	Flexible Tech Assistance, FlexTech Consultant Selection	62,400
Wesco Distribution	11/29/2017	<200KW PV, NY-Sun	722,943
		<200KW PV, RES-NewConst(no longer in use)	913,010
	11/30/2017	<200KW PV, NY-Sun	22,000
West Hill Energy & Computing, Inc.	11/27/2017	EVALUATION, RFQ 3183 West Hill Energy	200,000
WGL Energy Systems, Inc.	1/29/2018	NY-SUN, PV System @ Hamilton-Fulton	96,465
		PV System @ Hamilton-Fulton	225,084
Whitmore Court Apartments LLC	2/22/2018	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	22,000
Whole Foods Market Group, Inc.	3/5/2018	EXISTING FACILITIES, EFP2232 - Whole Foods Market -	1,170
Willdan Energy Solutions	10/20/2017	Industrial Process Effic, Technical Review and Program S	17,143
	10/24/2017	Commercial Real Estate Ten, Willdan - MultiSite - CommTen	10,000
	12/14/2017	Commercial Real Estate Ten, Willdan-Multisite Verizon-CT	41,716
	1/8/2018	Industrial Process Effic, Technical Review and Program S	27,000
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	63,000
		Real Time Enrgy Management, Technical Review and Program S	85,000
	1/26/2018	Industrial Process Effic, Technical Review and Program S	5,466
	3/14/2018	Commercial Real Estate Ten, Willdan-425 West 47th St-CT	5,000
	3/20/2018	Campus/Technical Assistance, Staff Augmentation Services	28,345
		Community RH&C, Staff Augmentation Services	28,345
		Geothermal Incentive Program, Staff Augmentation Services	28,345
		Renewable Heat NY, Staff Augmentation Services	28,345
		Solar Thermal, Staff Augmentation Services	28,345
		Industrial Process Effic, Technical Review and Program S	48,166
William Reynolds	10/3/2017	<200KW PV, NY Sun	60,240
	12/18/2017	<200KW PV, NY Sun	44,020
	3/13/2018	<200KW PV, NY Sun	15,552
Wireless Sensor Solutions	11/13/2017	CLEAN TRANSPORTATION, Self powered TPMS	239,047
WSP USA Corp.	11/9/2017	Commercial New Construc, WSP-Energy Modeling Partner	30,985
Xerox Corp	10/27/2017	NYSERDA ADMINISTRATION, Xerox Mobile Print - 3 years	20,985

Contracts Executed

Period 10/1/2017 through 3/31/2018

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Xzerta Energy Group LLC	12/12/2017	>200KW PV, NY Sun	769,005
	2/21/2018	>200KW PV, NY Sun	254,726
Yale Robbins Publications, LLC	12/21/2017	Combined Heat and Power, 2018 Spring Cooperator Expo	15,000
Yardi Systems, Inc.	12/11/2017	Real Time Enrgy Management, Yardi - 200 Park Ave - RTEM	155,000
You Save Green Incorporated	10/31/2017	<200KW PV, NY-Sun	5,568
	11/8/2017	<200KW PV, NY Sun	8,052
	12/6/2017	>200KW PV, NY Sun	58,307
	12/11/2017	<200KW PV, NY-Sun	5,304
	12/12/2017	<200KW PV, NY-Sun	5,280
	1/2/2018	<200KW PV, NY Sun	29,072
	1/3/2018	<200KW PV, NY-Sun	7,784
	2/8/2018	<200KW PV, NY Sun	6,110
	3/26/2018	<200KW PV, NY Sun	6,370
Zero Carbon Corporation	11/2/2017	<200KW PV, NY Sun	15,336
	11/16/2017	<200KW PV, NY Sun	18,144
ZG NY Solar, LLC	10/31/2017	>200KW PV, NY-Sun C&I	468,293
Grand Total			1,680,574,308

Contracts Completed
Period 4/1/2018 through 9/30/2018

Contractor	Contract Description	Total Contract Amount
1st Light Energy, Inc.	<200KW PV, NY Sun	132,032
3 Star Gas & Food Mart Inc.	FUEL NY, GSP00778 - 3 Star Gas & Food M	13,000
7-Eleven Inc.	FUEL NY, PGI00234 - 7-Eleven Inc.	35,700
20 East 9th Street Corp.	COMBINED HEAT AND POWER, DG CHP at Brevoort East	728,724
38 Astoria Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	79,300
110 Petroleum Corp	FUEL NY, PGI00278 - 110 Petroleum Corp	76,050
171 Carleton Ave Energy Inc	FUEL NY, PGI00116 - 171 Carleton Avenu	34,824
174-02 Horace Harding Expressway Operati	FUEL NY, PGI00112 - 174-02 Horace Hardi	123,688
322 Kear LLC	Low Rise New Construction, New Construction	13,000
375 Park Avenue Investors LP	EXISTING FACILITIES, DMP Bonus - 375 Park Ave Inves	70,699
400 Ocean Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	39,000
414 Property Holdings LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	35,000
450 Partners LLC	EXISTING FACILITIES, EFP2378 - Brookfield Office Pr	1,360,916
525 West 52 Property Owner LLC	NEW CONSTRUCTION PROGRAM, NCP12076 - 525 West 52nd Stree	73,333
540 West 26th Street Property Investors	NEW CONSTRUCTION PROGRAM, NCP12443 - 540 West 26th Stree	78,438
1020 Carroll Place LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	60,000
1050 Udall Road Corp.	FUEL NY, PGI00233 - 1050 Udall Road Cor	80,400
1099 Horseblock Realty LLC	FUEL NY, PGI00069 - 1099 Horseblock Rea	69,089
1185 Straight Path Corp.	FUEL NY, PGI00122 - 1185 Straight Path	92,217
1199 Housing Corporation	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	1,833,100
1215 Realty Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,250
1233 Realty Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,250
1236 Pacific LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	42,000
1325 Realty Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	50,400
1515 Broadway Fee Owner LLC	EXISTING FACILITIES, EFP1892 - 1515 Broadway Fee Ow	547,911
2015 ESA Project Company, LLC	FUEL CELLS, RPS FC - Home Depot #1214	1,000,000
	FUEL CELLS, RPS FC - Home Depot #1248	1,000,000
	FUEL CELLS, RPS FC - Walmart X-2	1,000,000
	FUEL CELLS, RPS FC - Walmart X-2531	1,000,000
2710 Morris Avenue Co., LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	72,000
4201 Webster Realty LLC	FUEL NY, PGI00066 - 4201 Webster Realty	124,121
4410-4414 Cayuga Avenue Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	41,650
19270 Bach Rd	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	20,239
ABB, Incorporated	DER Integration(Intrcnct), PON 3404 DER Integration	189,105
Acelerex, Inc.	CLEAN TRANSPORTATION, Energy Storage Study	207,000
Active Solar Development, LLC	<200KW PV, NY Sun	867,088
	<200KW PV, NY-Sun	65,000
	>200KW PV, NY Sun	82,759
	RENEWABLE THERMAL, NY-Sun	54,927
	RENEWABLE THERMAL, Solar Thermal Incentive	23,600
Adam C. Boese	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	250,535
	Commercial Real Estate Ten, Daylight Savings-25 Main St-CT	5,000
	Technical Services, FlexTech Consultant Selection	51,320
Adirondack Lakes Survey Corporation	ENVIRONMENTAL RESEARCH, ALTM Sampling	2,080,038
Adirondack North Country Association	CLEANER GREENER COMMUNITIES, CGC42502 - CGC One Stop ..	1,044,390
ADK Solar	<200KW PV, NY-Sun	5,236

Contracts Completed
Period 4/1/2018 through 9/30/2018

Contractor	Contract Description	Total Contract Amount
Advance Circuit Technologies	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	30,915
Advanced Climate Technologies, LLC	RENEWABLE HEAT NY, Automated Manufacturing System	350,000
Adviser Compliance Associates, LLC	NEW YORK GREEN BANK, ACA Compliance Assessment	49,000
Aegis Energy Services Inc.	COMBINED HEAT AND POWER, CHPA - 220 Madison	135,000
Aeonsolar	<200KW PV, NY Sun	8,892
Ahearn Holtzman Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,068,501
Airport Enterprises Inc	FUEL NY, PGI00292 - Airport Enterprises	84,750
AKF-engineers	Flexible Tech Assistance, FlexTech Consultants Statewide	43,550
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	85,723
Albany County Sewer District	OTHER PROGRAM AREA, Renewable Optimz Energy Storge	50,000
Albany Dodge Leasing Corp.	>200KW PV, Assignee/vendor # 67968	889,494
Albany Solar Solutions L.L.C.	<200KW PV, NY Sun	22,904
	<200KW PV, NY-Sun	5,880
AlienVault, Inc.	NYSERDA ADMINISTRATION, AlienVault License Renewal	12,209
All Systems Cogeneration, Inc.	COMBINED HEAT AND POWER, CHP - Elbee Gardens	198,000
	COMBINED HEAT AND POWER, CHPA - Morrisania	180,000
Allen Operating Company LLC	Flexible Tech Assistance, FlexTech Program - PON 1746	8,703
Alliance Energy LLC	FUEL NY, PGI00103 - Alliance Energy LLC	113,607
Alliance for Housing Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	384,600
Alternative Power Solutions of NY, LLC	<200KW PV, NY Sun	100,385
Ambrosino, DePinto & Schmieder	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	32,720
Amergy Solar Inc.	<200KW PV, NY Sun	38,380
American Council for an Energy Efficient	Intervention Effectiv Training, 2018 ACEEE Finance Forum	50,000
American Energy Care, Inc.	<200KW PV, NY-Sun	20,080
American Solar Partners, LLC	<200KW PV, NY Sun	60,344
Amphora Oil and Gas	FUEL NY, PGI00115 - Amphora Oil and Gas	101,264
Andrew James Naukam	M-Corps, Manufacturing Corps (M-Corps)	49,000
Antares Group, Inc.	EXISTING FACILITIES, Technical Review and Program S	11,438
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	113,301
	NYSERDA ADMINISTRATION, Renewable Portfolio Standard T	704,222
Apex Solar Power LLC	<200KW PV, NY Sun	48,994
	<200KW PV, NY-Sun	7,891
	RENEWABLE THERMAL, Clean Heating & Cooling	12,000
	RENEWABLE THERMAL, NY-Sun	12,000
	RENEWABLE THERMAL, PV Incentive Program	12,000
APPEXTREMES, LLC	NYSERDA ADMINISTRATION, Conga Composer	7,200
Arcadis of New York, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	OTHER PROGRAM AREA, Large Scales Renewables Techni	111,527
Arcadis U.S., Inc.	EXISTING FACILITIES, Tech Review & Program Staff	59,714
	Industrial Process Effic, Tech Review & Program Staff	24,926
Argos Solar, LLC	NY-SUN, PV System @ Cornell - Geneva	1,314,701
Arlington Central School District	EXISTING FACILITIES, EFP2628 - Arlington CSD	286,993
Arthur Kill Fuels LLC	FUEL NY, PGI00267 - Arthur Kill Fuels	84,750
Astrum Solar, Inc.	<200KW PV, NY Sun	6,360
Atelier Ten	Commercial New Construc, ATEN - EMP	7,881
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	75,160

Contracts Completed
Period 4/1/2018 through 9/30/2018

Contractor	Contract Description	Total Contract Amount
Autonomous Energies LLC	<200KW PV, NY Sun	14,892
AWS Truepower	Off-Shore Wind Pre-Dev Act, RFP 3462	14,950
Barry X Ball Studio Inc	NEW CONSTRUCTION PROGRAM, NCP12163 - Banker St	6,508
Baychester Petroleum LLC	FUEL NY, PGI00067 - Baychester Petroleu	90,265
Beacon Communities Services LLC	Low Rise New Construction, New Construction	47,000
Behavioral Ideas Lab, Inc.	ADVANCED BUILDINGS, Behavior Overview & Design	550,000
Benchmark Printing, Inc.	RENEWABLE HEAT NY, Printing Services	4,112
Bentham Foundation	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,000
Bergmann Associates	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	EXISTING FACILITIES, Technical Review and Program S	6,900
	Flexible Tech Assistance, FlexTech Consultant Selection	6,010
	Industrial Process Effic, Technical Review and Program S	5,650
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	5,000
	Renewable Heat NY, Technical Review and Program S	14,915
Best Energy Power	<200KW PV, NY Sun	166,026
	<200KW PV, NY-Sun	53,285
	<200KW PV, RES-NewConst(no longer in use)	37,800
Bethlehem Central School District	EXISTING FACILITIES, EFP2356-Bethlehem Central Scho	254,137
Binghamton Regional	COMMUNITY SOLAR, Solarize 2018	25,000
Bizodo Inc	NYSERDA ADMINISTRATION, Seamless Docs Licensing 18-19	27,450
Blue Pillar Inc.	EXISTING FACILITIES, DMP Bonus - Blue Pillar	48,000
Bolla EM Realty LLC	FUEL NY, GSP00288 - Bolla EM Realty LLC	10,000
	FUEL NY, GSP00292 - Bolla EM Realty LLC	10,000
Bolla Operating Corp.	FUEL NY, GSP00250 - Bolla Operating Cor	10,000
	FUEL NY, GSP00296 - Bolla Operating Cor	10,000
Bolla Operating LI Corp.	FUEL NY, PGI00032 - Bolla Operating LI	101,239
	FUEL NY, PGI00086 - Bolla Operating LI	84,816
	FUEL NY, PGI00088 - Bolla Operating LI	68,674
	FUEL NY, PGI00102 - Bolla Operating LI	93,502
	FUEL NY, PGI00142 - Bolla Operating LI	77,437
Bond, Schoeneck & King, PLLC	NYSERDA ADMINISTRATION, RFP 3300 Outside Counsel Servi	9,425
Bonduelle	Industrial Process Effic, Industrial Process Efficiency	31,590
Borrego Solar Systems, Inc.	>200KW PV, NY Sun	6,204,721
Bowery Holdings	NEW CONSTRUCTION PROGRAM, NCP11116 - 50 Bowery	36,053
BQ Energy, LLC	>200KW PV, NY-Sun	418,879
Brenda Sayers	WEST VALLEY DEVELOPMENT PROGRAM, W/V Office Cleaning	23,880
Bridge Square Building LLC	NEW CONSTRUCTION PROGRAM, NCP10726 - Bridge Square Build	90,091
Bright Power, Inc.	<200KW PV, NY Sun	93,813
	<200KW PV, NY-Sun	83,728
	NY-Sun	981
Brookhaven National Lab	CLEAN TRANSPORTATION, Brookhaven Lithium-Titanate Ba	200,000
Brooklyn Renaissance Plaza, LLC	Flexible Tech Assistance, FlexTech Program - PON 1746	80,296
Brooklyn SolarWorks LLC	<200KW PV, NY Sun	8,160
	NY Sun	15,552
	NY-Sun	33,500
Brownell Electric Corp.	<200KW PV, NY Sun	5,016

Contracts Completed
Period 4/1/2018 through 9/30/2018

Contractor	Contract Description	Total Contract Amount
BSREP UA Miles LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	221,650
Buffalo & Pittsburgh Railroad, Inc.	WEST VALLEY DEVELOPMENT PROGRAM, NFG Pipeline Applicati..	6,000
Buffalo Geothermal Heating	Geothermal Incentive Program, Large-Scale GSHP Rebate	18,984
Buffalo Solar Solutions Inc	<200KW PV, NY Sun	76,779
Burt Van Buren	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	36,181
C.J. Brown Energy, P.C.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	13,745
	Flexible Tech Assistance, FlexTech Consultant Selection	2,187
	NEW CONSTRUCTION PROGRAM, CJ Brown - EMP	23,571
C.T. Male Associates Engineering,	EXISTING FACILITIES, Technical Review and Program S	11,610
	Flexible Tech Assistance, FlexTech Consultant Selection	3,750
C&S Oil Corporation	FUEL NY, PGI00121 - C&S Oil Corporation	99,100
Car Care of Manhasset Inc	FUEL NY, PGI00107 - Car Care of Manhass	128,626
Carahsoft Technology Corporation	NYSERDA ADMINISTRATION, 25 Salesforce Licenses	42,350
	NYSERDA ADMINISTRATION, Renewal: Salesforce.com	11,585
	Renewal: Salesforce.com	1,239,347
Carol Watson	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	82,303
Catskill Mountainkeeper, Inc	CLEANER GREENER COMMUNITIES, CGC39425 - Renewable NY	1,857,275
CBS Broadcasting Inc.	EXISTING FACILITIES, EFP2041-CBS; 2 locations	552,565
CDH Energy Corporation	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	240,000
	COMBINED HEAT AND POWER, CHP System Inspection	3,500,000
	COMBINED HEAT AND POWER, Technical and Logistic Support	300,000
	COMBINED HEAT AND POWER, Technical Review and Program S	469,700
	Community RH&C, Technical Review and Program S	44,390
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	366,955
	EVALUATION, Technical Review and Program S	352,350
	EXISTING FACILITIES, EFP Task Work Order	292,410
	EXISTING FACILITIES, Technical Review and Program S	11,910
	Geothermal Incentive Program, Technical Review and Program S	124,370
	Industrial Process Effic, Technical Review and Program S	59,170
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	81,280
	NYSERDA ADMINISTRATION, DG-CHP Remote Monitoring Data	17,013
CEC Solar #1200 LLC	>200KW PV, Commercial/Industrial PV	1,075,574
CEC Solar #1201, LLC	>200KW PV, NY Sun	651,990
Centereach Fuel	FUEL NY, PGI00297 - Centereach Fuel	17,708
Certified Heating Oils, Inc.	FUEL NY, PGI00220 - Certified Heating	112,302
	FUEL NY, PGI00225 - Certified Heating	115,250
CHA Consulting Inc.	Flexible Tech Assistance, FlexTech Consultant Selection	9,800
	Industrial Process Effic, Commercial & Industrial Outrea	970,253
	INDUSTRIAL PROCESS EFFICIENCY, Commercial & Industrial Outrea	2,899,279
	On-Site Energy Manager, Commercial & Industrial Outrea	73,535
	On-Site Energy Manager, FlexTech Consultant CHA	234,375
	Renewable Heat NY, Technical Review and Program S	31,250
	Strategic Energy Manager, Commercial & Industrial Outrea	81,370
Chambers Senior Housing LP	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	72,000
Charles River Laboratories, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	120,750
Checker Management Corp.	FUEL NY, GSP00752 - Checker Management	10,000

Contracts Completed
Period 4/1/2018 through 9/30/2018

Contractor	Contract Description	Total Contract Amount
CIR ELECTRICAL CONSTRUCTION CORP.	<200KW PV, NY Sun	111,106
	<200KW PV, NY-Sun	6,616
City of Cohoes	Clean Energy Communities, City of Cohoes	100,000
City of Lockport	COMMUNITY SOLAR, Solarize 2018	5,000
City of Middletown	ANAEROBIC DIGESTER, RPS CST ADG-Middletown Sewage	1,760,220
Clarkson University	ADVANCED BUILDINGS, Wood Pellet Boiler Demo	261,541
	ENVIRONMENTAL RESEARCH, Guidance for Thermal Storage	49,999
	ENVIRONMENTAL RESEARCH, HE Wood Pellet Boiler & ECT	383,814
	ENVIRONMENTAL RESEARCH, Wood Pellet Boiler Demo	5,911
	RENEWABLE HEAT NY, Community Exposure to WS Roch	349,999
	RENEWABLE HEAT NY, Guidance for Thermal Storage	364,998
	SMART GRID SYSTEMS, EPTD Smart Grid Program	381,042
Clean Energy Collective, LLC	>200KW PV, NY Sun	273,415
Clean Energy States Alliance	ENERGY ANALYSIS, Coordination of USDOE Grant	257,113
	Prof & Expert Engagement, 2018 CESA Membership	68,500
CLEAResult Consulting, Inc.	Low Rise New Construction, Implementation and Support con	538,444
	NEW YORK ENERGY STAR HOMES, Implementation and Support con	1,838,338
CNY Solar, Inc.	<200KW PV, NY Sun	105,895
	<200KW PV, NY-Sun	5,344
	RENEWABLE THERMAL, Clean Heating & Cooling	22,791
Code Green Solutions, Inc.	Commercial Real Estate Ten, CodeGreen-201 EC Ave-CT	5,000
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	64,920
	Real Time Enrgy Management, Hines Hold-155 Ave of Ame-RTEM	31,377
	Real Time Enrgy Management, Hines Hold-200 Hudson St-RTEM	22,057
Color Methods	Low-Income Forum on Energy, LIFE 2018 Conference - CMI AV	11,080
Columbia University Medical Center	NEW CONSTRUCTION PROGRAM, NCP98430 - Jerome L. Greene ..	1,173,344
Comalli Group, Inc.	<200KW PV, NY Sun	5,499
Community Development Corporation of LI	NEW YORK ENERGY STAR HOMES, New Construction	136,000
Compressed Air Challenge, Inc.	Prof & Expert Engagement, Industrial Process Efficiency	7,500
Concur Technologies, Inc.	NYSERDA ADMINISTRATION, Concur annual cost estimate	17,000
Congregation Beit Simchat Torah	NEW CONSTRUCTION PROGRAM, NCP12713 - CBST Synagogue	30,137
Conscious Energy Inc.	<200KW PV, RES-NewConst(no longer in use)	5,000
Consolidated Edison Company	RENEWABLES & DER INTEGRATION, Project Hydra Demonstration	1,000,000
	SMART GRID SYSTEMS, Competitive Greenhouse Gas	850,000
Consortium for Energy Efficiency, Inc.	Prof & Expert Engagement, Industrial Process Efficiency	48,000
Continental Automated Buildings	Subscription/Data Access, Market Insights	21,700
Copses Farms LLC	Commercial New Construc, NCP15054 - Copses Dairy	47,579
Cornell University	ENVIRONMENTAL RESEARCH, optimize LED for greenhouses	249,081
	ENVIRONMENTAL RESEARCH, Rainfall IDF Curves	231,761
Cornell University-Office of Sponsored P	ADVANCED BUILDINGS, Micropowdered Biomass Combusti	171,934
Cornerstone Energy Services	Renewable Heat NY, Cornerstone - Town of Chateaug	34,925
Corona 9403 Inc.	FUEL NY, GSP00364 - Corona 9403 Inc.	10,000
CPD NY Energy	FUEL NY, GSP00508-001 - CPD NY Energy C	10,000
	FUEL NY, GSP00508-003 - CPD NY Energy C	10,000
	FUEL NY, GSP00508-005 - CPD NY Energy C	10,000
	FUEL NY, GSP00509-001 - CPD NY Energy C	10,000

Contracts Completed

Period 4/1/2018 through 9/30/2018

Contractor	Contract Description	Total Contract Amount
CPD NY Energy	FUEL NY, GSP00509-002 - CPD NY Energy C	10,000
	FUEL NY, GSP00509-007 - CPD NY Energy C	10,000
	FUEL NY, GSP00509-008 - CPD NY Energy C	10,000
	FUEL NY, GSP00509-009 - CPD NY Energy C	10,000
	FUEL NY, GSP00509-010 - CPD NY Energy C	10,000
	FUEL NY, GSP00669-001 - CPD NY Energy C	10,000
	FUEL NY, GSP00669-002 - CPD NY Energy C	10,000
	FUEL NY, GSP00669-003 - CPD NY Energy C	10,000
Crest Solar LLC	<200KW PV, NY Sun	17,724
	<200KW PV, NY-Sun	6,576
Cross Bronx Services Station Corp	FUEL NY, PGI00065 - Cross Bronx Service	101,838
Croton Energy Group, Inc.	<200KW PV, NY Sun	13,680
Croton Falls Gas Mart	FUEL NY, PGI00273 - Croton Falls Gas Ma	26,830
CT 2525 Beverly LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	27,000
Cullen and Dykman, LLP	NYSERDA ADMINISTRATION, Counsel's Office	5,000
Cutone & Company Consultants, LLC	Commercial Imp Assist, CIAP001 - Cutone; 200 Lex	19,522
	Commercial Real Estate Ten, LC Assoc-575 Lex Ave-CT	10,568
	Commercial Real Estate Ten, LC Associates-525 Bway-CommTen	8,945
	Commercial Real Estate Ten, LC Associates-1370 AoA-CT	10,068
	Commercial Real Estate Ten, LC Associates-1370 Bway-CT	10,568
	EXISTING FACILITIES, DMP Bonus - LCA	382,392
CVR Hotel LLC	NEW CONSTRUCTION PROGRAM, NCP10673 - Hilton Garden Inn	93,038
Cypress Creek Renewables LLC	>200KW PV, Commerical/IndustrialPV	1,445,109
	>200KW PV, NY-Sun	1,331,022
	>200KW PV, NY-Sun C&I	1,109,185
D & R International Ltd	EVALUATION, Performance Management	84,400
Dart Convenience Centers LLC	FUEL NY, GSP00766 - Dart Convenience Ce	13,000
DCG Development Co.	NEW CONSTRUCTION PROGRAM, NCP12367 - Home2 Suites-OFLT	46,054
Dell, Inc.	NYSERDA ADMINISTRATION, Laptops for West Valley - DELL	10,750
Department of Veterans Affairs	NEW CONSTRUCTION PROGRAM, NCP11939 - Castle Point Urgent	5,665
DePaul Properties, Inc.	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	150,000
DMV EQUITY, INC.	<200KW PV, NY Sun	5,832
Doherty Electric, LLC	<200KW PV, NY Sun	27,363
	<200KW PV, NY-Sun	6,904
Dowd-Witbeck Printing Corp.	Home Perf w Energy Star, Printing Services	1,044
Downstream Construction, LLC	<200KW PV, NY-Sun	8,764
Dual Fuel Corp	Combined Heat and Power, CHPA - 1791 Walton Avenue	7,800
Dunntown Solar, LLC	>200KW PV, NY Sun	481,658
Earth Sensitive Solutions, LLC	Geothermal Incentive Program, Large-Scale GSHP Rebate	17,124
East Hills Autofix LLC	FUEL NY, PGI00011 - East Hills Autofix	84,597
East River Petroleum Realty LLC	FUEL NY, GSP00549 - East River Petroleum	10,000
ECG Consulting Group Inc.	OTHER PROGRAM AREA, Due Dilligence Process	25,000
EcoMen Solar, LLC	<200KW PV, NY Sun	21,788
Ecovis, Inc.	<200KW PV, NY Sun	49,113
	<200KW PV, NY-Sun	5,288
Edge Design and Consulting, Inc.	<200KW PV, NY-Sun	11,200

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Edge Design and Consulting, Inc.	<200KW PV, RES-NewConst(no longer in use)	12,600
Educational & Cultural Trust Fund	NEW CONSTRUCTION PROGRAM, NCP10015 - Electrical Industry	101,428
Eiger 3970 Consultants Inc.	<200KW PV, NY Sun	38,958
Eldor Contracting Corporation	<200KW PV, NY-Sun	25,898
EMCOR Services Betlem	Flexible Tech Assistance, FlexTech Consultant Selection	45,028
EME Consulting Engineering Group, LLC	Commercial New Construc, EME - EMP	27,625
	Industrial Process Effic, Tech Review and Program Staff	10,400
	NEW CONSTRUCTION PROGRAM, Tech Review and Program Staff	34,650
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	17,500
Emmanuel Properties Inc	NEW YORK ENERGY STAR HOMES, New Construction	123,000
Empire Solar Solutions LLC	<200KW PV, NY Sun	50,297
Empower CES, LLC	<200KW PV, NY Sun	27,129
Enbala Power Networks USA Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	594,960
ENER-G Rudox Inc.	Combined Heat and Power, CHPA - 685 1st Avenue	432,381
	Combined Heat and Power, CHPA - Calvary Hospital	831,650
	COMBINED HEAT AND POWER, CHPA - Michaelangelo Hotel	455,138
	COMBINED HEAT AND POWER, CHPA - Mima Apartments	840,050
	COMBINED HEAT AND POWER, CHPA- Westport	283,200
Energy & Resource Solutions, Inc.	ADVANCED BUILDINGS, Technical Review and Program S	17,370
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	36,115
	COMBINED HEAT AND POWER, Technical and Logistic Support	3,800,000
	Combined Heat and Power, Technical Review and Program S	588,160
	Commercial Imp Assist, Technical Review and Program S	6,255
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	154,100
	EXISTING FACILITIES, EFP Task Work Orders	45,234
	EXISTING FACILITIES, Technical Review and Program S	186,371
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	8,588
	Industrial Process Effic, Industrial & Agriculture	40,000
	Industrial Process Effic, Technical Review and Program S	30,825
	INDUSTRIAL PROCESS EFFICIENCY, EFP Task Work Orders	37,914
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	6,395
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	49,444
	On-Site Energy Manager, Industrial & Agriculture	5,000
	RENEWABLE HEAT NY, Technical Review and Program S	3,500
	Rmve Barriers Dist Enrgy Storg, RFP 3407 Categories 2 & 3A	367,576
	Strategic Energy Manager, Industrial & Agriculture	5,000
Energy and Environmental Economics Inc.	Mkt Char: Tech Assist, Tech Assist, REV Pool.	125,000
Energy Conservation & Supply, Inc.	EXISTING FACILITIES, DMP Bonus - Energy Conservatio	54,973
Energy Improvement Corporation	MARKET PATHWAYS, Enabling CPACE in NYS	107,494
EnergySavvy Inc	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, HPWES ..	472,740
	Home Perf w Energy Star, HPWES Program Mgmt Portal	1,233,057
	HOME PERFORMANCE WITH ENERGY STAR, HPWES Program Mg..	990,027
Enertiv Inc.	Real Time Enrgy Management, Greg Maser--260 Spring--RTEM	9,030
EnterSolar LLC	<200KW PV, NY Sun	163,000
	<200KW PV, NY-Sun	62,500
Eos Energy Storage, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Rapid Prot..	500,000

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
EQR-Acquisitions, LP	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	343,000
Erdman Anthony & Associates, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	Flexible Tech Assistance, FlexTech Consultant Selection	17,958
	Industrial Process Effic, Technical Review and Program S	3,185
ERP Operating Limited Partnership	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	662,000
Evolve Guest Controls	EXISTING FACILITIES, Commercial	35,912
Executive Information Systems, LLC	NYSERDA ADMINISTRATION, Purchase SAS Analytical Softwa	39,443
Extraterrestrial Materials Inc.	<200KW PV, NY Sun	78,821
First Colonie Company	Clean Energy Communities, 2018 CEEP Training	7,156
First Ward Action Council, Inc.	Low Rise New Construction, New Construction	21,000
Fiveboro Solar, LLC	<200KW PV, NY-Sun	11,503
Flatiron Williamsburg Property Group II,	Commercial Real Estate Ten, Flat Iron-25 Main Street-CT	5,000
Florencia Properties NV, Inc.	Flexible Tech Assistance, FlexTech Program - PON 1746	5,000
Florenton River LLC	<200KW PV, NY Sun	24,583
Flushing Commons LLC	NEW CONSTRUCTION PROGRAM, NCP11462 - Flushing Commons	225,181
Fordham University	EXISTING FACILITIES, DMP Bonus - Fordham University	40,300
ForeFront Power, LLC	>200KW PV, NY Sun	58,276
Forest Avenue Service Station Inc	FUEL NY, PGI00195 - Forest Avenue Servi	58,903
Forest City Jay St. Assoc.	EXISTING FACILITIES, EFP/DMP2249 - Forest City Jay	62,361
Fort Schuyler Management Corporation	NEW CONSTRUCTION PROGRAM, NCP12678 - Riverbend	328,971
Fourth Coast, Inc.	<200KW PV, NY Sun	32,676
	<200KW PV, NY-Sun	115,000
Freedom Solar Inc.	<200KW PV, NY Sun	32,254
Freeman Decorating Co	OTHER PROGRAM AREA, 2018 NY Auto Show - Exhibit	5,244
Frontier Energy, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	26,000
	EXISTING FACILITIES, Technical Review_Prgm Support	4,995
Frost Valley YMCA	ENVIRONMENTAL RESEARCH, MDN/litterfall operator (NY68)	43,500
Fund for Public Health in New York, Inc.	ENVIRONMENTAL RESEARCH, Climate ADP--Health and Energy	294,326
G.W. Ehrhart, Inc.	Renewable Heat NY, Erhart/Flinn	21,000
	Renewable Heat NY, G.W Ehrhart/Grusenmeyer	21,000
	Renewable Heat NY, G.W Erhart/Stuart Staniford	15,000
Garlock Sealing Technologies, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	137,012
Gartner Inc.	NYSERDA ADMINISTRATION, Gartner Services 2018 - 2019	55,334
GB Lighting Corp	EXISTING FACILITIES, DMP Bonus - GB Lighting	74,034
GCOM Software LLC	NYSERDA ADMINISTRATION, Salesforce Implementation	4,582,549
GCP 188th Realty Corp	FUEL NY, PGI00007 - GCP 188th Realty Co	104,660
Geatain Engineering PLLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	25,000
General Electric Company	NEW CONSTRUCTION PROGRAM, NCP12770 - Building 33	65,715
General Motors, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial and Process Efficie	160,813
Genesis Petroleum Inc.	FUEL NY, PGI00251 - Genesis Petroleum	22,705
George E Denmark II	<200KW PV, NY Sun	21,226
George J. Martin & Son	<200KW PV, NY Sun	14,756
Geotherm Inc.	<200KW PV, NY Sun	32,670
GI Endurant LLC	EXISTING FACILITIES, Existing Facilities Program PO	1,982,673
Global Montello Group Corp.	FUEL NY, PGI00034 - Global Montello Gr	74,607
	FUEL NY, PGI00193 - Global Montello Gro	89,038

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Global Montello Group Corp.	FUEL NY, PGI00208 - Global Montello Gro	103,828
Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, Goldman Cope-Multisite-CT	9,982
	Commercial Real Estate Ten, Goldman Copela-1 Penn Plaza-CT	10,997
	Commercial Real Estate Ten, Goldman Copelan-640 5th Ave-CT	10,997
	Commercial Real Estate Ten, Goldman Copelan-689 5th Ave-CT	10,997
	Commercial Real Estate Ten, Goldman Copeland-40 Fulton-CT	10,997
	Commercial Real Estate Ten, Goldman Copeland-100 AoA-CT	10,969
	Commercial Real Estate Ten, Goldman Copeland-155 AoA-CT	10,969
	Commercial Real Estate Ten, Goldman Copeland-350 Park A-CT	10,997
	Commercial Real Estate Ten, Goldman-750 7th Ave-CommTen	10,997
	Commercial Real Estate Ten, GoldmanCopel- 435 Hudson St-CT	10,969
	Flexible Tech Assistance, FlexTech Consultant Selection	8,408
Green Hybrid Energy Solutions Inc.	<200KW PV, NY Sun	45,580
	<200KW PV, NY-Sun	46,140
Green Street Power Partners LLC	<200KW PV, NY-Sun	5,539
Green Volt Solutions LLC	<200KW PV, NY-Sun	28,453
Greenskies Powergroup 2 LLC	>200KW PV, Commercial/Industrial PV	384,693
Greenskies Renewable Energy LLC	>200KW PV, NY-Sun	461,632
Greentech Media Inc.	Subscription/Data Access, GTM Wind Service Subscription	25,000
Greenwood Millennium Broadway LLC	EXISTING FACILITIES, EFPCHP - PON1219	872,500
Grid City Electric Corp	<200KW PV, NY Sun	25,932
Group-S LLC	EXISTING FACILITIES, Existing Facilities Program -	453,152
	Flexible Tech Assistance, FlexTech Consultant Selection	44,863
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	35,163
H.T. Lyons, Incorporated	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	250,000
Habitat for Humanity (Capital District)	Low Rise New Construction, New Construction	10,800
Hackley School	NEW CONSTRUCTION PROGRAM, NCP14060 - HealthWellness-OF..	137,216
Halcyon, Inc.	<200KW PV, NY-Sun	7,416
	<200KW PV, RES-NewConst(no longer in use)	11,660
Harris Beach PLLC	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Cou..	3,606
Harvest Power, LLC	<200KW PV, NY Sun	130,661
	<200KW PV, NY-Sun	7,327
HESP Solar, LLC	<200KW PV, NY Sun	44,180
Hess Corporation	FUEL NY, GSP00079 - Hess Corporation	10,000
High Peaks Solar	<200KW PV, NY Sun	5,880
	<200KW PV, NY-Sun	5,836
	>200KW PV, NY Sun	999,593
Highbridge Community Development Corpora	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	72,000
Holland & Knight LLP	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	309,500
	SMART GRID SYSTEMS, RFP 3300 & RFP 3776 Outside Co	24,253
Hudson Solar	<200KW PV, NY Sun	71,013
	<200KW PV, NY-Sun	75,906
	NY-SUN, PV System at Watchtower Bible	198,309
Hudson Valley Wind Energy, LLC	<200KW PV, NY Sun	63,764
IBM - East Fishkill Site	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	70,000
ICF Resources, LLC	Commercial Imp Assist, Technical Review and Program S	4,709

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
ICF Resources, LLC	EXISTING FACILITIES, Technical Review and Program S	24,337
IGS Ventures, Inc.	NY-SUN, PV@ Church of the Gateway	226,576
IHS Global Inc.	FUEL NY, OPIS Rack Price Subscription	8,232
Industrial Economics, Incorporated	SMART GRID SYSTEMS, Flex Energy Tech Analysis 2	40,000
INF Associates LLC	Commercial Real Estate Ten, INF Associates-655 Third Av-CT	55,030
Infinity Solar Systems, LLC	<200KW PV, NY Sun	5,519
Ingalside Solar, LLC	>200KW PV, NY Sun	654,947
IntelliGen Power Systems, LLC	COMBINED HEAT AND POWER, CHPA - 4C Foods	726,000
Intelligent Green Solutions	RENEWABLE THERMAL, Clean Heating & Cooling	548,272
	RENEWABLE THERMAL, NY-Sun	160,740
	RENEWABLE THERMAL, RES-NewConst(no longer in use)	21,275
	RENEWABLE THERMAL, ST Incentive Program	104,351
IPPsolar Integration LLC	<200KW PV, NY Sun	206,886
Iskalo 5000 Main LLC	NEW CONSTRUCTION PROGRAM, NCP11492 - 5000 Main Street	42,135
Island Energy	FUEL NY, PGI00117 - Island Energy	34,961
Island Hollow L.P.	Low Rise New Construction, New Construction	85,400
Ithaca College	EXISTING FACILITIES, EFP2470 - Ithaca College	122,608
Ithaca Neighborhood Housing Services, In	CLEANER GREENER COMMUNITIES, CGC52863 - Ithaca NHS	516,674
	Low Rise New Construction, Low/Moderate Income	48,000
	Low Rise New Construction, New Construction	57,000
	NEW YORK ENERGY STAR HOMES, New Construction	17,500
James Michalek	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	20,062
Jessup Switch Solar LLC	>200KW PV, NY Sun	611,982
Jewish Home Lifecare	NEW CONSTRUCTION PROGRAM, NCP11715 - Sarah Neuman Pavili	19,076
Jewish Home of Rochester	NEW CONSTRUCTION PROGRAM, NCP12720 - The Green Houses	30,872
John R. Schuyler Farm	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	12,093
John Siegenthaler	ENVIRONMENTAL RESEARCH, Technical Eval of Hydronics Sy	19,985
Johnson Controls Inc.	Flexible Tech Assistance, FlexTech Consultant Selection	139,675
JP Morgan Chase	EXISTING FACILITIES, DMP Bonus - JP Morgan Chase	318,236
Kaleida Health	EXISTING FACILITIES, EFP2540 - Kaleida Health	70,922
	NEW CONSTRUCTION PROGRAM, NCP11344 - Women & Children's	158,795
Kamtech Restoration Corp	<200KW PV, NY Sun	18,105
Karpman Consulting, LLC	ADVANCED ENERGY CODES, Ecode Performance Enforcement	74,816
	Code to Zero, Karpman Csltg RFP3036 Services	10,000
Kasselman Solar LLC	<200KW PV, NY Sun	115,812
	<200KW PV, NY-Sun	61,895
Kearns & West, Inc.	REC:CES REC Pgm Non-Rec Exp, LSR siting support	50,000
Kilowatt Engineering, Inc.	EXISTING FACILITIES, Technical Review and Program S	5,893
L&S Energy Services, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	75,000
	Flexible Tech Assistance, FlexTech Consultant Selection	4,000
	Industrial Process Effic, Technical Review and Program S	6,046
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	15,131
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	86,608
	Renewable Heat NY, Technical Review and Program S	7,236
	Technical Services, FlexTech Consultant Selection	7,500
LaBella Associates, P.C.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
LaBella Associates, P.C.	NEW CONSTRUCTION PROGRAM, New Construction	24,548
Lago Resort Casino LLC	NEW CONSTRUCTION PROGRAM, NCP12762 - Lago Casino-OFLT	335,197
LC DRives	OTHER PROGRAM AREA, PON 3249 ACE	550,000
Leon Petroleum	FUEL NY, PGI00274 - Leon Petroleum	114,150
Level Solar Inc.	<200KW PV, NY Sun	5,104
	<200KW PV, NY-Sun	6,156
Lewis Custom Homes, Inc.	Low Rise New Construction, New Construction	26,800
LexisNexis	NYSERDA ADMINISTRATION, Counsel's Office	49,260
Liberty Affordable Housing, Inc.	Low Rise New Construction, New Construction	38,000
Liberty Petroleum Realty LLC	FUEL NY, GSP00573 - Liberty Petroleum R	10,000
LiDestri Foods, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industry Process Efficiency	110,000
Loeb & Loeb LLP	Green Bank Outside Legal Couns	4,779
	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	229,611
Long Island Power Solutions	<200KW PV, NY Sun	6,720
Lono LLC	Geothermal Incentive Program, Large-Scale GSHP Rebate	18,000
Lotus Energy, Inc.	<200KW PV, NY Sun	80,770
Lotus Management Group NY Inc.	FUEL NY, GSP00690-006 - Lotus Managemen	10,000
	FUEL NY, GSP00690-010 - Lotus Managemen	10,000
Luthin Associates, Inc.	REV Campus Challenge, Commercial	96,000
M/E Engineering, P.C.	Flexible Tech Assistance, FlexTech Consultant Selection	34,000
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	11,420
Macquesten Development, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	97,200
Macy's Inc.	EXISTING FACILITIES, EFP1750 - Macy's	750,272
Mannino Electric, Inc.	<200KW PV, NY Sun	6,528
Maple West 25th Owner LLC	NEW CONSTRUCTION PROGRAM, NCP11975 - 119 West 25th Stree	109,499
Max Solar Inc	<200KW PV, NY Sun	8,750
	<200KW PV, NY-Sun	6,858
MCA SERVICE CORP	FUEL NY, PGI00205 - MCA Service Corp.	38,190
Mehta Real Estate LLC	NEW CONSTRUCTION PROGRAM, NCP10549 - 77 E 110th	35,234
Meister Consultants Group, Inc.	COMMUNITY SOLAR, NY-SUN PVBOS Training and Educ	136,975
	NY-SUN, NY-SUN PVBOS Training and Educ	486,612
	WORKFORCE DEVELOPMENT, NY-SUN PVBOS Training and Educ	3,620,275
Mental Health Association of	Low Rise New Construction, New Construction	60,600
Mercury Solar Systems, Inc.	NY-SUN, RPS CST Regional Program	296,015
Merrick Bellmore Service Center Inc.	FUEL NY, GSP00777 - Merrick Bellmore S	24,559
Metropool, Inc.	CLEAN TRANSPORTATION, Tri-Cities Mobility Challenge	299,331
MH One Enterprise Inc	FUEL NY, PGI00004 - MH One Enterprise	116,823
Micatu, Inc.	SMART GRID SYSTEMS, EPTD Smart Grid Round 2	1,980,912
Mobile Fleet Inc	CLEAN TRANSPORTATION, Battery-based Anti-Idling Sys.	290,003
Mohawk Valley Economic Development	Community Energy Engagement, CEEP Mohawk Valley Region (MVE	390,000
Monolith Solar Associates, LLC	<200KW PV, NY Sun	1,948,199
	<200KW PV, NY-Sun	1,418,074
	<200KW PV, RES-NewConst(no longer in use)	1,483,801
	NY-Sun	3,585
Monroe County	EXISTING FACILITIES, EFP2627 - County of Monroe	159,486
Montague Pierrepont Apartments LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	86,000

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Morton Salt Inc	Industrial Process Effic, Industrial Process Efficiency	92,460
Mount Sinai Medical Center	EXISTING FACILITIES, DMP Bonus - Mt Sinai	180,000
MS Financing, Inc.	FUEL CELLS, Morgan Stanley	1,000,000
Mukti 77 Petroleum Inc	FUEL NY, PGI00210 - Mukti 77 Petroleu	48,319
Mukti 148 Petroleum Inc	FUEL NY, PGI00286 - Mukti 148 Petroleum	91,850
NASEO	Prof & Expert Engagement, Office of the President & CEO	15,148
National Home Performance Council	Air Source Heat Pumps, 2018 NY Regional Home Perf Con	5,000
	Geothermal Incentive Program, 2018 NY Regional Home Perf Con	5,000
	Home Perf w Energy Star, 2018 NY Regional Home Perf Con	35,000
	Low Rise New Construction, 2018 NY Regional Home Perf Con	5,000
	Multifam New Construction, 2018 NY Regional Home Perf Con	0
Navarino Orchard	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	14,631
NECEC Institute	Cleantech ICC Engage, 2018 NECEC Sponsorship	150,000
	OTHER PROGRAM AREA, Technology to Market	40,000
NESCAUM	OTHER PROGRAM AREA, 2018 ZEV MOU dues	50,000
NESEA	Commercial Real Estate Ten, 2018 Building Energy Conf spon	4,000
	Multifam Performance Pgm, 2018 Building Energy Conf spon	4,000
	Real Time Enrgy Management, 2018 Building Energy Conf spon	4,000
	Retrofit NY, 2018 Building Energy Conf spon	4,000
New Buildings Institute, Inc.	ADVANCED ENERGY CODES, NYStretch	249,926
	Prof & Expert Engagement, 2018 NBI Membership	25,000
New York Battery and Energy Storage	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 3B	494,189
New York Convention Center Operating Cor	OTHER PROGRAM AREA, Booth services of NY Auto Show	7,884
New York Geothermal Energy Organization	Geothermal Incentive Program, 2018 NY GEO	5,100
New York Passive House Inc.	Low Rise New Construction, 2018 NYPH Conference & Expo	2,125
	Multifam New Construction, 2018 NYPH Conference & Expo	2,125
	Multifam Performance Pgm, 2018 NYPH Conference & Expo	2,125
	Retrofit NY, 2018 NYPH Conference & Expo	2,125
New York Power Authority	SMART GRID SYSTEMS, EPTD Smart Grid	285,000
New York Presbyterian Hospital	EXISTING FACILITIES, Existing Facilities Program -	373,138
New York Solar Energy Industries Assoc.	NY-SUN, NYSEIA SUMMIT	10,000
New York Solar Solutions LLC	<200KW PV, NY Sun	13,944
New York State Ag & Markets	NYSERDA ADMINISTRATION, 2018 NYS Fair Exhibit	8,530
	POLICY DEVELOPMENT, 2018 DPS NYS Fair Exhibit	11,365
New York State Police	NEW CONSTRUCTION PROGRAM, NCP12386 - NYS Police Unadilla	5,469
New York State Smart Grid Consortium Inc	Prof & Expert Engagement, Smart Grid Syst & Dist Eng Int	60,000
New York State Solar Farm Inc.	<200KW PV, NY Sun	10,820
New York University	NEW CONSTRUCTION PROGRAM, NCP11361 - NYU 55 East 10th St	59,558
New York University Langone Medical Cent	EXISTING FACILITIES, EFP2408 - New York University	200,605
Nexant, Incorporated	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	84,965
	EXISTING FACILITIES, .	128,229
	EXISTING FACILITIES, Technical Review and Program S	168,070
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	17,043
Next Generation Solar, LLC	<200KW PV, NY Sun	8,698
Nickels Energy Solutions LLC	<200KW PV, NY Sun	5,670
	<200KW PV, NY-Sun	5,816

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Nixon Peabody LLP	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	168,095
NJP Consulting Inc.	<200KW PV, NY Sun	5,120
	<200KW PV, NY-Sun	6,880
Nor Spring Service Station Inc.	FUEL NY, PGI00291 - Nor Spring Service	93,275
Nor-Cross Service Station Inc	FUEL NY, PGI00207 - Nor-Cross Service	82,820
Norbut Farm LLC	>200KW PV, NY Sun	1,062,226
Norbut Solar Farm LLC	>200KW PV, NY Sun	700,067
Noresco LLC	Commercial Real Estate Ten, NORESKO-55 Water St-CRE Tenant	33,900
	Flexible Tech Assistance, FlexTech Consultant Selection	38,724
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	651,429
North Star Energy Inc	FUEL NY, PGI00117 - North Star Energy	89,712
Northeast Agriculture Technology Corp	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
Northern Plains Power Technologies	DER Integration(Intrcnct), PON 3404 DER Integration	132,000
Novus Engineering, P.C.	NEW CONSTRUCTION PROGRAM, NCP TA Contract - ST10140	44,407
NP Environmental LLC	Geothermal Incentive Program, Large-Scale GSHP Rebate	47,520
NYC Partnership Housing Dev. Fund Co.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	50,000
NYCHA III Parent Housing Development	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	324,900
NYGB-CCRD Borrower LLC	NY Green Bank, Cypress Creek Bridge Loan	11,500,000
NYS Department of Transportation	NEW CONSTRUCTION PROGRAM, NCP11456-RochesterIntermodal	20,715
NYS Economic Development Council	CLEANER GREENER COMMUNITIES, EDGE Program Support Servi..	574,823
	CLEANER GREENER COMMUNITIES, EDGE Territory 2	2,133,125
NYS Office of General Services	SARATOGA TECHNOLOGY & ENERGY PARK, OGS Design/Permitti..	5,067
NYS Office of Parks, Recreation and	<200KW PV, NY Sun	99,895
NYU Langone Hospitals	EXISTING FACILITIES, EFP1899 - NYU Langone Medical	905,260
O'Brien & Gere Engineers, Inc.	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	90,283
O'Connell Electric Company	>200KW PV, NY Sun	1,084,031
OK Petroleum Distribution Corp	FUEL NY, PGI00123 - OK Petroleum Distri	78,930
	FUEL NY, PGI00158 - OK Petroleum Distri	84,602
	FUEL NY, PGI00160 - OK Petroleum Distri	79,641
	FUEL NY, PGI00161 - OK Petroleum Distri	110,026
	FUEL NY, PGI00196 - OK Petroleum Distri	124,669
OLEDWorks LLC	ADVANCED BUILDINGS, White OLED Light Panels	490,661
OnForce Solar	<200KW PV, NY Sun	46,310
	>200KW PV, NY Sun	805,344
	NY-SUN, PV System @ Manhattan Beer Dis	275,558
	NY-SUN, PV System at ASI Specialties,	1,000,026
Onyx Renewable Partners, LP	<200KW PV, NY Sun	681,920
Open Market ESCO LLC	CLEANER GREENER COMMUNITIES, CGC41141 - Sibley Redev.	3,069,587
Oracle America, Inc.	NYSERDA ADMINISTRATION, User Productivity Kit (UPK)	8,968
OwnSolar, LLC	NY-SUN, PV System @ Stewart's Shops	622,135
Pagen Farms Inc	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	29,889
Palobueno Real Estate Corp.	Flexible Tech Assistance, FlexTech Program - PON 1746	7,813
Paradise Energy Solutions, LLC	<200KW PV, NY Sun	87,862
Pathfinder Engineers & Architects, LLP	Commercial New Construc, Pathfinder - EMP	48,883
Petrecky Consulting LLC	NYSERDA ADMINISTRATION, DOE OSW Consortium Proposal	35,000
Phire, Inc	NYSERDA ADMINISTRATION, Phire Maintenance - 1 year	15,300

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Pinsu Inc.	FUEL NY, PGI00206 - Pinsu Inc.	90,336
PlugPV, LLC	<200KW PV, NY Sun	11,387
PMG Northeast LLC	FUEL NY, PGI00024 - PMG Northeast LLC	92,838
	FUEL NY, PGI00050 - PMG Northeast LLC	91,352
	FUEL NY, PGI00074 - PMG Northeast LLC	86,034
	FUEL NY, PGI00075 - PMG Northeast LLC	89,061
	FUEL NY, PGI00181 - PMG Northeast LLC	102,181
Politico LLC	NYSERDA ADMINISTRATION, Communications	5,000
Power Management Co., LLC	EXISTING FACILITIES, EFP2640 - Power Management	124,698
Powerlutions, LLC	<200KW PV, NY Sun	6,195
Project Company Phase I-F, LLC	NY-SUN, PV System @ FedEx Ground	193,948
Provantage, LLC	NYSERDA ADMINISTRATION, Monitors for NYC and Alb.	10,078
Proven Energy Systems	<200KW PV, NY Sun	5,808
Queensview, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	689,700
Quixotic Systems, Inc.	<200KW PV, NY Sun	44,600
	<200KW PV, NY-Sun	49,760
QwikSolar, LLC	<200KW PV, NY Sun	65,480
	<200KW PV, NY-Sun	9,681
R and S Gas Inc.	FUEL NY, GSP00568 - R and S Gas Inc.	10,000
RAC Holdings Corp.	Low-Income Forum on Energy, Mazzone Hospitality- LIFE 2018	35,964
Randstad North America, Inc.	Electric Vehicles - Innovation, Temp Services Contract.	42,000
	ENERGY ANALYSIS, Temp Services Contract.	119,850
	EVALUATION, Temp Services Contract.	12,000
	NEW YORK GREEN BANK, Green Bank	6,500
	NEW YORK GREEN BANK, Temp Services	182,689
	NY-SUN, Temp Services Contract.	18,428
Ranway Farms LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	8,858
Red Hook Solar Corp	<200KW PV, NY Sun	64,994
Regen Energy Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	116,580
Regional Economic Models, Inc	ENERGY ANALYSIS, Modeling and Analytics	6,000
Remica Property Group Corp.	FUEL NY, PGI00250 - Remica Property Gro	116,600
Remsen Central School District	Flexible Tech Assistance, FlexTech Program - PON 1746	11,945
Renovus Energy, Inc.	<200KW PV, NY Sun	157,886
	>200KW PV, NY Sun	505,086
Rensselaer Polytechnic Institute-LRC	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	359,026
	Prof & Expert Engagement, Advanced Buildings	85,000
RER Energy Group LLC	>200KW PV, NY Sun	448,687
Rescue Mission of Utica, Inc.	Low Rise New Construction, New Construction	43,000
Research Foundation of SUNY	OTHER PROGRAM AREA, Regional Economic Development	397,831
	OTHER PROGRAM AREA, Roof Integrated Light Weight P	407,741
	WORKFORCE DEVELOPMENT, Roof Integrated Light Weight P	407,741
Research Foundation of The City	OTHER PROGRAM AREA, NYC Grid Ready Solar	159,284
	RENEWABLES & DER INTEGRATION, Environmentally Preferred Po..	1,000,000
	WORKFORCE DEVELOPMENT, NYC Grid Ready Solar	159,284
RGS Holdings	NEW CONSTRUCTION PROGRAM, NCP10769 - 300W122	72,443
Robert C. Hassman Jr.	<200KW PV, NY-Sun	17,472

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Contractor	Contract Description	Total Contract Amount
Roberto R Romano	Geothermal Incentive Program, Large-Scale GSHP Rebate	18,540
Rochester Institute of Technology	SMART GRID SYSTEMS, EPTD Smart Grid Program	78,466
Rocky Mountain Institute	Air Source Heat Pumps, ELab Session	10,000
	Commercial HVAC, Digital Solutions Research	50,000
Rondack Construction Inc.	NEW YORK ENERGY STAR HOMES, New Construction	171,000
Rosebud Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	408,000
Ross Solar Group, LLC	NY-SUN, 28798 RPS CST Regional Program	406,475
	NY-SUN, RPS CST Regional Program	167,884
Rudin Management Co. Inc.	EXISTING FACILITIES, DMP Bonus - Rudin Management	185,039
Rural Generation & Wind (Rodney Weaver)	<200KW PV, NY Sun	6,720
Ruskin Moscou Faltischek, P.C.'s	OTHER PROGRAM AREA, OSW legal incorporation filing	6,679
RXR Realty LLC	EXISTING FACILITIES, DMP Bonus - RxR	57,954
Ryan Homes (Virginia)	Low Rise New Construction, New Construction	103,550
Safari Energy LLC	>200KW PV, Commercial/IndustrialPV	595,266
	>200KW PV, NY Sun	925,775
	NY-SUN, New York Sun Competitive PV Pr	1,574,597
	NY-SUN, Rooftop PV installation	44,893
San-Dar Associates Co.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	265,170
Sea Bright Solar, LLC	<200KW PV, NY Sun	30,240
SEC Newco, LLC	NY-SUN, NY-Sun Competitive PV Program	2,863,626
Seed Renewables Inc.	<200KW PV, NY Sun	9,460
SHI, Inc.	NYSERDA ADMINISTRATION, 1 Year - Adobe Acrobat Pro DC	20,378
	NYSERDA ADMINISTRATION, Renewal - Adobe Creative Cloud	9,848
Sinai Fuels LLC	FUEL NY, PGI00213 - Sinai Fuels LLC	74,000
Sitecore USA, Inc.	NYSERDA ADMINISTRATION, Sitecore Web Support 18-19	25,300
Siteimprove, Inc.	NYSERDA ADMINISTRATION, Siteimprove Renewal 17-20	17,916
Sive Paget & Riesel PC	NYSERDA ADMINISTRATION, RFP 3300 & RFP 3776 Outside Co	5,500
	Off-Shore Wind Master Plan, RFP 3300 & RFP 3776 Outside Co	200,000
Skanska Ne Realty Inc	NEW CONSTRUCTION PROGRAM, NCP10625 - Skanska	45,719
Skyline Solar Inc.	<200KW PV, NY Sun	33,180
SmallGrid LLC	<200KW PV, NY Sun	5,236
Smarter Grid Solutions, Inc.	DER Integration(Intrcnct), PON 3404 DER Integration	99,440
	High Performing Grid, PON 3397 CAT A	241,560
	High Performing Grid, PON 3397 CAT B	203,950
SMG Partners	Low-Income Forum on Energy, LIFE 2018 Statewide Conference	5,850
Smith Engineering PLLC	Flexible Tech Assistance, FlexTech Consultant Selection	16,298
Snow Economics, Inc.	Industrial Process Effic, Industrial Process Efficiency	30,115
Snyder Manufacturing, Inc	Geothermal Incentive Program, Large-Scale GSHP Rebate	54,816
Solar Alchemy, Inc.	<200KW PV, NY Sun	7,110
Solar Census LLC	OTHER PROGRAM AREA, Remote Rooftop Shade Tool	234,238
	WORKFORCE DEVELOPMENT, Remote Rooftop Shade Tool	234,238
Solar Dad and Sons Inc	<200KW PV, NY Sun	105,629
Solar Energy LLC	<200KW PV, RES-NewConst(no longer in use)	250,560
Solar Generation, Inc.	<200KW PV, NY Sun	18,040
Solar Landscape, LLC	>200KW PV, NY Sun	1,385,800
Solar Liberty Energy Systems, Inc	<200KW PV, NY Sun	132,118

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Solar Liberty Energy Systems, Inc	<200KW PV, NY-Sun	11,282
	>200KW PV, Commercial/ Industrial PV	1,066,679
	>200KW PV, Commercial/Industrail PV	224,264
	>200KW PV, Commercial/Industrial PV	4,593,050
	>200KW PV, NY Sun	76,822
	>200KW PV, Ny-Sun	104,747
	NY-Sun	575,722
	NY-SUN, PV System @ Wegmans Store 71	335,537
	NY-SUN, PV System @ Wegmans, 300 Marke	272,319
	NY-SUN, PV System @ Wegmans, 745 Calki	259,923
	NY-SUN, PV System @ Wegmans, 1885 Chil	167,601
	SMART GRID SYSTEMS, Purchase of Equipment	125,000
Solar Plumbing Design Inc	<200KW PV, NY Sun	24,768
Solar Promotion International GmbH	NY-SUN, 2018 Intersolar	20,000
SolarCity Corporation	<200KW PV, NY Sun	51,464
	>200KW PV, Commercial/IndustrialPV	322,261
	>200KW PV, NY Sun	1,794,593
	NY-SUN, PV System @ City of Ithaca Tom	903,538
	NY-SUN, PV System @ Town of Moreau Tec	191,571
	NY-SUN, PV System @ Town of Southeast-	584,924
	NY-SUN, PV System at Millbrook School	1,247,626
Solcius, LLC	<200KW PV, NY Sun	6,090
Southview Towers, L.P.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	196,000
Sperry Energy	NYSERDA ADMINISTRATION, Innovation Advisory Services	300,000
Speyside Holdings, LLC	Industrial Process Effic, Industrial Process Efficiency	29,628
St. John's University	EXISTING FACILITIES, EFP2116-St Johns University -	43,592
	REV Campus Challenge, REV CC - Roadmaps	153,360
Stantec Consulting Services, Inc.	Commercial New Construc, Stantec-Energy Modeling Partne	15,176
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	17,500
Star 260 Realty LLC	FUEL NY, PGI00229 - Star 260 Realty LLC	70,000
Steven Winter Associates, Inc.	ADVANCED BUILDINGS, Linkage-Less Burner Retrofit	229,801
	Commercial New Construc, SWA - EMP	26,096
	EXISTING FACILITIES, Technical Review and Program S	22,074
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	108,500
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	24,730
	NextGen HVAC, Linkage-Less Burner Retrofit	18,499
Stony Brook Foundation - Advanced Energy	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, 2018 AEC ..	18,000
STR Systems NY, LLC	<200KW PV, NY Sun	15,066
Suffolk Enterprises, Inc.	FUEL NY, GSP00415 - Suffolk Enterprises	10,000
Sullivan Solar Garden, LLC	NY-SUN, PV System @ Sullivan County Co	2,501,626
Sumintra	<200KW PV, NY Sun	7,920
Summit Research Labs Inc	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	185,226
Sun Source Technologies	<200KW PV, NY Sun	62,279
	<200KW PV, NY-Sun	5,775
	NY-Sun	7,800
sun8 PDC LLC	>200KW PV, NY Sun	845,159

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
SuNation Solar Systems, Inc.	<200KW PV, NY Sun	187,660
SunEdison Governmental Solutions, LLC	>200KW PV, Commercial/Industrial PV	2,006,450
	>200KW PV, Commercial/IndustrialPV	990,966
	NY-SUN, Commercial/Industrial PV Progr	1,981,931
SunEdison Holdings Corporation	Codes, Products and Standards	1,464,096
Sungevity Development, LLC	<200KW PV, NY-Sun	5,000
Sunlight General Capital LLC	<200KW PV, NY Sun	53,071
	NY Sun	22,744
Sunnova Energy Corp	<200KW PV, NY Sun	13,522
SunPower Capital, LLC	<200KW PV, NY Sun	167,142
	<200KW PV, NY-Sun	12,774
SunRay Power LLC	NY-SUN, RPS CST Regional Program	664,773
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY Sun	177,595
	<200KW PV, NY-Sun	104,920
Sunrise Solar Solutions, LLC	<200KW PV, NY Sun	30,748
Sunrun Inc	NY Green Bank, Sunrun Construction	25,000,000
SunRun, Inc	<200KW PV, NY Sun	11,164
SunVest, Solar INC	<200KW PV, NY Sun	17,745
SUNY Cortland	<200KW PV, NY-Sun	13,500
SUNY Delhi	Industrial Process Effic, Industrial Process Efficiency	5,931
SUNY Oneonta	NEW CONSTRUCTION PROGRAM, PON1601 R2	127,975
Sustainable CUNY CUNY/RF	NY-SUN, 2018 Solar Storage Summit	10,000
Sustainable Energy Developments Inc.	<200KW PV, NY Sun	139,414
	>200KW PV, NY Sun	1,838,334
Syracuse University	NextGen HVAC, 2018 Intl Building Physics Con	25,000
	NextGen HVAC, sponsor 2017 symposium	10,000
Systems Management Planning, Inc.	NYSERDA ADMINISTRATION, Aerohive Renewal 2018-2019	5,941
	NYSERDA ADMINISTRATION, Manage Engine Desktop Central	8,821
	NYSERDA ADMINISTRATION, VEEAM License Renewal - 3yrs	20,426
T.Y. Lin International	ADVANCED ENERGY CODES, Energy Code Support Services	1,905,876
	CLEANER GREENER COMMUNITIES, Energy Code Support Services	500,000
Taitem Engineering, P.C.	<200KW PV, NY Sun	12,583
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	20,996
Tech Valley Talent, LLC	NYSERDA ADMINISTRATION, Staff Augmentation	167,700
Tecogen	COMBINED HEAT AND POWER, CHPA - St Tropez Condominium	451,000
Tern Construction & Development, LLC	Low Rise New Construction, New Construction	58,400
Texas A&M	ADVANCED BUILDINGS, Behavior Research & Energy Dec	97,246
The Board of Trustees	Environmental Research, NADP Program Contract	405,444
The Bonadio Group	NYSERDA ADMINISTRATION, data analysis extraction	9,000
The Business Council of NYS, Inc.	Prof & Expert Engagement, Renewal of Membership	5,876
The Cadmus Group, LLC	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 4	573,447
The Community Builders, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	61,200
The Goldman Sachs Group, Inc.	EXISTING FACILITIES, EFP2275 - Goldman Sachs HQs -	771,123
The Levy Partnership, Inc.	ADVANCED BUILDINGS, EIFS DEEP Retrofits	290,000
The Radiant Store	Renewable Heat NY, Clean Heating & Cooling	25,070
	Renewable Heat NY, Radiant Store - Rutkowski	12,000

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Contractor	Contract Description	Total Contract Amount
The Radiant Store	RENEWABLE HEAT NY, RHNY cordwood incentive	7,500
The Research Foundation for the State	Low Rise New Construction, 2018 NYS Green Building Conf.	2,625
	Multifam New Construction, 2018 NYS Green Building Conf.	2,625
The Research Foundation of SUNY at Bing	ADVANCED BUILDINGS, Solid State Disk Based Energy	267,381
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EFRC co-f..	199,250
The Strand Condominium	COMBINED HEAT AND POWER, DG CHP at The Strand	433,588
The Weidt Group, Inc.	Commercial New Construc, EMP - Weidt	26,465
Theodore Theodoropoulos	<200KW PV, NY-Sun	11,970
Thermal Solution Resources, LLC	ADVANCED BUILDINGS, Advanced Buildings Technology	223,293
ThinkEco, Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	71,766
Thomson Reuters	Flexible Tech Assistance, FlexTech Program - PON 1746	13,959
Thornton Tomasetti, Inc.	Commercial New Construc, Thornton Tomasetti-EMP	18,119
ThunderCat Technology LLC	NYSERDA ADMINISTRATION, Atlassian Product Suite	19,540
	NYSERDA ADMINISTRATION, Renewal: Docusign Subscription	82,290
Time Warner Cable Enterprises, LLC	EXISTING FACILITIES, DMP Bonus - Time Warner	122,311
TM Montante Solar Developments, LLC	<200KW PV, NY Sun	62,533
	<200KW PV, NY-Sun	6,300
	<200KW PV, RES-NewConst(no longer in use)	146,615
	>200KW PV, NY Sun	395,347
	NY-Sun	6,265
Top Green LLC	FUEL NY, PGI00010 - Top Green LLC	125,247
Top Rak Ltd.	FUEL NY, GSP00491 - Top Rak Ltd.	13,000
Town of Clarkstown	CLEANER GREENER COMMUNITIES, CGC41249 - Nanuet Transit P..	150,000
Town of East Hampton	COMMUNITY SOLAR, Solarize 2018	5,000
Town of Ellicott	Clean Energy Communities, CEC101457 - Town of Ellicott	0
	CLEANER GREENER COMMUNITIES, CEC101457 - Town of Ellicott	85,883
Town of Esopus	COMMUNITY SOLAR, Solarize 2018	5,000
Town of Franklin	Clean Energy Communities, Town of Franklin	100,000
Town of Grand Island	COMMUNITY SOLAR, Solarize 2018	5,000
Town of Queensbury	COMMUNITY SOLAR, Solarize 2018	5,000
Town of Southampton	COMMUNITY SOLAR, Solarize 2018	5,000
Transit Wireless	Industrial Process Effic, Industrial Process Efficiency	27,500
TRC Energy Services	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	EXISTING FACILITIES, Technical Review and Program S	70,532
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	51,453
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	25,252
Trees New York	GREENING THE BRONX, Greening The Bronx	827,560
Triad Technology Partners LLC	NYSERDA ADMINISTRATION, Tableau Maintenance 18-19	70,305
Triborough Preservation LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	249,600
Triglia Technologies, Inc.	RENEWABLE HEAT NY, Energy and Environmental Perfo	250,000
Trisul Inc	FUEL NY, PGI00145 - Trisul Inc.	113,021
Tully Rinckey PLLC	NYSERDA ADMINISTRATION, outside counsel services	5,000
TurnKey Internet, Inc.	Industrial Process Effic, Industrial Process Efficiency	165,073
Twin Mill Farms	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	42,584
U.S. Geological Survey (Troy).	ENVIRONMENTAL RESEARCH, Acid Deposition and Mercury Re	122,383
U.S. Green Building Council, NY Chapter	NextGen HVAC, Buildings Product Research	50,000

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Udderly Better Acres	AGRICULTURE ENERGY EFFICIENCY, AEEP - R749 Udderly Better ..	138,990
UGE USA Inc.	>200KW PV, NY Sun	189,814
Unique Comp Inc.	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	384,250
United Wind Project I, LLC	Small Wind, Wind Turbine Incentive	660,501
Upstate Capital Association of New York	OTHER PROGRAM AREA, 9th Annual NY Business Competi	25,000
	Prof & Expert Engagement, UCANY 2018	40,000
Upstate Venture Connect	Prof & Expert Engagement, UVC Sponsorship	25,000
USTA National Tennis Center, Inc.	EXISTING FACILITIES, EFP2458 - USTA National Tennis	887,985
Van Slyke Dairy	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	258,913
Vandale Motors Inc.	FUEL NY, PGI00003 - Vandale Motors Inc.	96,121
Vassar College	NEW CONSTRUCTION PROGRAM, NCP10277 - Integrated Science	100,912
Venture at Endicott LLC	Multifam Performance Pgm, Multifamily	47,600
Venture Home Solar LLC	<200KW PV, NY Sun	24,239
Verizon Communications Inc	Industrial Process Effic, Industrial Process Efficiency	39,054
Vermont Energy Investment Corporation	Air Source Heat Pumps, Renewable Heating Cooling TA	50,000
	Net Zero Energy Modular Homes, Technical Review and Program S	119,992
Vernon Scoville	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	25,828
Vidaris, Inc.	Commercial New Construc, Vidaris - EMP	80,250
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	35,079
	NEW CONSTRUCTION PROGRAM, Technical Assistant Services..	154,750
	NEW CONSTRUCTION PROGRAM, Vidaris - EMP	18,400
Village of Nyack	CLEANER GREENER COMMUNITIES, CGC42087 - Village of Nyack	206,000
Viola Homes Inc.	<200KW PV, NY Sun	58,872
Visual Arts Research and Resouce Center	NEW CONSTRUCTION PROGRAM, NCP98420 - East 125th St Fireh	27,601
Vivint Solar	<200KW PV, NY Sun	24,909
Vnomics Corp	CLEAN TRANSPORTATION, Truck Trip Fleet Study	118,156
Voltaic Solaire LLC	<200KW PV, NY Sun	10,376
Vornado Office Management LP	EXISTING FACILITIES, DMP Bonus - Vornado	83,831
Vornado Realty Trust	EXISTING FACILITIES, Existing Facilities Program -	1,446,428
Warren Pinnacle Consulting, Inc.	ENVIRONMENTAL RESEARCH, SLAMM adaptation	364,318
Wellwood Energy	FUEL NY, PGI00115 - Wellwood Energy	101,264
Wendel Energy Services, LLC	Flexible Tech Assistance, FlexTech Consultant Selection	88,725
	Industrial Process Effic, Technical Review and Program S	7,697
Westhab, Inc.	GREEN AFFORDABLE HOUSING, Multifamily	46,896
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	111,236
WGL Energy Systems, Inc.	Hollingsworth & Vose	445,332
	NY-SUN, Competitive PV Program - Macy	767,617
	NY-SUN, Competitive PV Program - Macy'	672,094
	NY-SUN, Hollingsworth & Vose	856,813
	NY-SUN, NY Sun Competitive PV Program	285,004
	NY-SUN, Town of Walworth	275,534
	Town of Walworth	135,179
White Brothers Enterprise Inc.	FUEL NY, GSP00726 - White Brothers Ente	13,000
Whitehaven Solar C, LLC	>200KW PV, NY Sun - Assignment	395,347
Willdan Energy Solutions	Industrial Process Effic, Industrial & Agriculture	50,000
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	58,525

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Willoughby Walk Coop Apartments, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	226,925
Wiltshire Renewable Energy Systems, LLC	<200KW PV, NY-Sun	5,040
Windgate Solar, LLC	>200KW PV, NY Sun	992,984
Windsor Terrace HDFC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	9,600
Woodbury Vineyards Inc.	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	38,213
Wurlitzer Industrial Park Inc	NEW CONSTRUCTION PROGRAM, NCP12461 - The Wurlitzer Bldg	22,205
Wyona Apartments LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	23,000
Xzerta Energy Group LLC	>200KW PV, NY Sun	2,822,488
	>200KW PV, NY-Sun	2,436,509
	>200KW PV, NY-Sun CI	1,212,397
You Save Green Incorporated	<200KW PV, NY Sun	18,634
ZEV Technologies, Inc.,	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	50,000
	CLEAN TRANSPORTATION, Promoting Workplace Charging	160,000
Grand Total		245,402,045