



NYSERDA

ANDREW M. CUOMO
Governor

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

June 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 October 1, 2017 through March 31, 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.nyserda.ny.gov/-/media/Files/Publications/Annual-Reports-and-Financial-Statements/2018-june-nyserda-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

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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

NYSERDA

Revenues Collected - October 1, 2017 through March 31, 2018

Revenue Source	Amount (\$000's)
State Appropriation	10,461
Utility Surcharge Assessments	45,164
Clean Energy Standard Proceeds	233,309
Allowance Proceeds	41,186
Third-party reimbursements	9,194
Federal grants	11,965
Interest subsidy	229
Project repayments	213
Rentals from leases	666
Fees and other income	1,155
Loans and financing receivables interest	11,405
Investment income	3,715
Total revenues	368,662

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Public Authority Law Report
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Solicitation Summary October 1, 2017 to March 31, 2018

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Dollar Value
PON 3715	Workforce Training: Building Operations & 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.	10/17/2017	5/30/2018	\$6,700,000.00
RFP 3751	Technical Assistance and Tools for Clean Heating and Cooling Communities	Through this solicitation, NYSERDA will select a Technical Assistance and Tools provider to help communities get 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	11/16/2017	1/10/2018	\$500,000.00
PON 3689	Real Time Energy Management (RTEM)	NYSERDA Real Time Energy Management ("RTEM") Program (the "Program") seeks to achieve deep energy savings through the collection and analysis of energy usage data from buildings at a system level. To accelerate adoption of RTEM practices, the Program offers cost-share support for RTEM projects in the commercial, industrial and multifamily sectors.	11/2/2017	6/30/2021	\$33,000,000.00 - Commercial, - \$5,700,000.00 - Industrial, \$830,00.00 - Multifamily
RFQ 3691	Real Time Energy Management (RTEM) Qualified Vendor	NYSERDA is accepting applications from vendors, installers, and service providers of Real Time Energy Management (RTEM) to become a RTEM Qualified Vendor. NYSERDA is seeking both RTEM System Providers (installers) and RTEM Energy Management Consultant Providers (monitoring services).	11/2/2017	1/4/2021	No value was stated in solicitation
PON 3701	On-site Energy Manager Pilot	NYSERDA seeks applications from facilities interested in participating in the On-site Energy Manager Pilot to demonstrate how a dedicated On-site Energy Manager can improve energy, process, and operational improvements.	11/9/2017	12/31/2019	No value was stated in the solicitation
PON 3716	Multifamily New Construction Program	The Multifamily New Construction Program offers technical support and incentives to developers of multifamily high rise new construction and gut rehabilitation projects. The multi-tiered incentive structure is intended to promote increased levels of performance, up to and inclusive of net zero energy performance.	11/16/2017	12/31/2019	\$11,006,000.00
PON 3438	REV Campus Challenge Technical Assistance for Roadmaps	This solicitation is to competitively select and contract with one or more Proposers to provide: 1) Payroll Services for Temporary Employees, and 2) Staff Augmentation Services.	11/16/2017	1/17/2018	\$3,000,000.00

Solicitation Summary October 1, 2017 to March 31, 2018

PON 3723	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.	11/16/2017	10/23/2017	\$1,300,000.00
PON 3609	Commercial New Construction	The Commercial New Construction Program offers objective technical and financial support to building owners to effect a permanent transformation in the way buildings are designed and constructed in New York State. Technical support is offered on a first-come, first-served basis, subject to funding availability. Financial support is formally committed at the time NYSERDA issues a written pre-approval of the financial offer.	3/20/2018	12/31/2018	\$2,355,000.00
RFQL 3711	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.	3/20/2018	5/16/2018	No value was stated in the solicitation
PON 3519 - Round - 2	NextGen HVAC Technology Challenge	The NextGen HVAC Program supports the development of energy efficient building technologies and new business models for New York's building industry. This funding opportunity focuses on cutting edge HVAC systems including new renewable heating and cooling systems and the integration of advanced controls.	3/22/2018	4/26/2018	\$15,000,00.00
RFP 3771	New Construction Initiatives Support Services	NYSERDA is accepting applications from firms to become approved Primary Energy Consultants serving projects in NYSERDA's New Construction Initiatives. NYSERDA seeks firms capable of delivering energy modeling and analysis, building commissioning, advanced building facilitation, third party quality assurance, and smart building services to significantly increase the performance of buildings and their energy systems to reduce overall greenhouse gas emissions. Primary Energy Consultants will deliver these services to building owners, developers, and leaseholders.	2/1/2018	12/23/2023	No value was stated in the solicitation
RFP 3750	RetrofitNY	NYSERDA will qualify: 1) Solution Provider Teams to design high-performance retrofit solutions that approach or achieve net-zero energy performance for affordable multifamily buildings, and 2) affordable housing multifamily buildings that meet program requirements for being retrofitted with these solutions. Applications for Teams and Buildings will be submitted separately and then pair up for a Joint Project Application. Contracts will be awarded to qualified Team/Building pairs on a first come, first served basis, with \$75,000 awarded to the Solution Provider Team.	2/6/2018	7/31/2018	\$450,000.00

Solicitation Summary October 1, 2017 to March 31, 2018

RFQL 3695	Standards and Quality Assurance Services	NYSERDA seeks to establish a pool of qualified service providers to develop and implement quality initiatives in support of several NYSEERDA programs and clean energy technologies. Qualified Proposers will work with the NYSEERDA Standards and Quality Assurance team to conduct field inspection and desk review services, implement existing and upcoming standards (technical, installation, data and quality standards) and deliver market-based quality assurance solutions.	2/20/2018	4/4/2018	No value was stated in the solicitation
RFI 3	Financing Interconnection Payments for Clean Energy Projects in New York State	NY Green Bank is targeting private sector investors to generate greater financing for interconnection expenses involved in developing clean energy projects. Increased funding availability is necessary to support grid upgrades, as required by utilities, to increase clean energy generation throughout New York State.	2/28/2018	3/30/2018	No value was stated in the solicitation
PON 3819	Entrepreneurs-In-Residence Program	NYSERDA is seeking proposals from organizations interested in administering the next iteration of the Entrepreneurs-In-Residence Program NYSEERDA's Entrepreneurs-in-Residence Program guides early-stage companies through specific projects and issues, such as staffing for growth, budget management, resource planning, strategic partnering and board management.	2/29/2018	5/2/2018	\$4,000,000.00
RFP 10	Construction and Aggregation-to-Term Financing for CDG Solar Projects	NY Green Bank's is seeking to target developers and/or owners of solar photovoltaic (PV) projects that: (i) are in advanced stages of development; (ii) form part of the Community Distributed Generation Program; (iii) are compensated under the Value of Distributed Energy Resources Phase One Tariff, (iv) comply with all applicable provisions established under the Uniform Business Practices for Distributed Energy Resource Suppliers; (v) generate power using Tier 1 technology; (vi) earn revenue by selling volumetric or monetary credits to project members under revenue contracts; and (vii) are 500 KW to 2 MW in size, ground-mounted, canopy-mounted or non-residential rooftop PV solar projects at a single location.	1/2/2018	12/30/2022	No value was stated in the solicitation
PON 3717	Low-rise Residential New Construction Program	NYSERDA Low-rise Residential New Construction Program (LR NCP) supports the achievement of increased levels of energy performance, up to and including homes or low-rise multifamily buildings that are designed and constructed to achieve net zero energy performance.	1/18/2018	12/31/2018	\$10,300,000.00
RFP 3765	Property Management Services	NYSERDA requests proposals from firms interested in providing full service, comprehensive professional building management services to improve, maintain, and preserve the grounds and building located at 17 Columbia Circle in Albany, N Y.	1/30/2018	2/27/2018	No value was stated in the solicitation
RFP 3764	Solarize Technical Assistance Provider	NYSERDA invites proposals from firms interested in serving as the technical assistance provider for New York State's Solarize program. Services may include, but will not necessarily be limited to technical review, trainings, and marketing and implementation services.	12/5/2017	1/3/2018	\$350,000.00

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PON 3694	Cooperative Advertising and Promotions for HVAC Partners	NYSERDA's Cooperative (Co-op) Advertising and Promotion Program for HVAC Partners offers incentives up to 50 percent of the total cost for educational, marketing promotion, and training opportunities to eligible HVAC professionals participating in PON 3653: Air-Source Heat Pump Program or PON 3620: Ground-Source Heat Pump Rebate.	12/7/2017	12/31/2020	\$1,500,000.00
PON 3411	Industrial Strategic Energy Management: Pilot Solicitation	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	12/15/2017	4/11/2018	No value was stated in the solicitation
RFP 3776	Outside Counsel Legal Services	NYSERDA invites proposals from law firms interested in providing outside legal services to support the administration of NYSERDA's programs in one or more distinct areas of law and/or policy.	12/15/2017	1/24/2018	No value was stated in the solicitation
RFP 3761	Customer Targeting Tool	NYSERDA is soliciting a proposal from a contractor who will provide an internet-based customer targeting resource and complementary consulting services to installers of energy efficient HVAC systems, especially heat pumps, as well as related energy efficiency and renewable energy products	12/19/2017	2/12/2018	\$300,000.00
RFP 9	Strategic Advisory & Capital Arranger Services	NY Green Bank seeks proposals from qualified firms to provide strategic advisory and third-party capital-raising services in order to raise at least \$1 billion for expanding availability of financing.	12/1/2017	1/16/2018	No value was stated in the solicitation
PON 3578	Plug-In Electric Vehicle (PEV)-Enabling Technology Development and Demonstration	NYSERDA is requesting proposals for technology or business strategy research and development, innovative policies or strategic approaches to develop and demonstrate new technologies to help overcome barriers to the market adoption of PEVs. Proposal approaches should make PEVs more economically viable while reducing their impact on the electric grid and the environment in New York State.	11/30/2017	8/29/2018	\$3,000,000.00
PON 3643	Technical and Market Support for CHP Market Development and Growth	NYSERDA is seeking to help increase the number of CHP installations in New York State and, in particular, New York City. This RFP invites proposals for a Contractor to provide outreach and technical assistance to potential end-use customers to encourage the adoption of CHP, and to assist them in acquiring CHP systems and services where appropriate.	10/25/2017	11/16/2017	No value was stated in the solicitation
PON 3011 - Round - 4	Solarize	NYSERDA invites local governments, school districts, and other community partners to participate in Solarize, a program designed to make solar more accessible and affordable through community-driven initiatives. In 2018, NYSERDA will support Solarize campaigns, which are short-term (6-9 months) local efforts to bring together groups of potential customers through widespread outreach and education.	12/20/2017	2/28/2018	No value was stated in the solicitation
PON 2456 - Revised Nov - 2017	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.	11/3/2017	12/31/2019	\$57,429,807.00

Solicitation Summary October 1, 2017 to March 31, 2018

PON 3723 - Revised Nov 2017	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 □	11/20/2017	11/17/2018	\$1,300,000.00
PON 2568 - Revised Dec 2017	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.	12/20/2017	12/31/2018	\$82,000,000.00
RFP 3036 - Revised - Dec 2017	New Construction and Codes Partner Services	NYSERDA seeks firms interested in assisting NYSERDA with delivering design and technical assistance, high quality energy modeling and analysis, and quality assurance services to significantly increase the performance of buildings and their energy systems to reduce overall greenhouse gas emissions.	12/7/2017	12/29/2017	No value was stated in the solicitation
PON 3689 - Revised Jan 2018	Real Time Energy Management (RTEM)	NYSERDA Real Time Energy Management Program (RTEM) seeks to achieve deep energy savings through the collection and analysis of energy usage data from buildings at a system level. To accelerate adoption of RTEM practices, the Program offers cost-share support for RTEM projects in the commercial, industrial and multifamily sectors. Applicants must be qualified as a NYSERDA RTEM Qualified Vendor to apply to this Program	1/31/2018	6/30/2021	\$31,000,000.00 - Commercial, \$5,700,000.00 - Industrial, \$2,830,000.00 - Multifamily
PON 3716 - Revised Jan 2018	Multifamily New Construction Program	The Multifamily New Construction Program offers technical support and incentives to developers of multifamily high rise new construction and gut rehabilitation projects. The goal is to increase awareness of and demand for advanced clean energy solutions.	1/18/2018	12/31/2018	\$11,006,000.00
RFP 3761 - Revised Jan 2018	Customer Targeting Tool	NYSERDA is soliciting a proposal from a contractor who will provide an internet-based customer targeting resource and complementary consulting services to installers of energy efficient HVAC systems, especially heat pumps, as well as related energy efficiency and renewable energy products	1/22/2018	2/12/2018	\$300,000.00
PON 3715 - Revised Jan 2018	Workforce Training: Building Operations & Maintenance	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.	1/31/2018	5/30/2018	\$6,700,000.00
PON 3298 - Revised Feb 2018	Clean Energy Communities Program	The Clean Energy Communities Program provides grants, direct technical support to communities, and recognition to local governments that demonstrate leadership in the area of clean energy.	2/2/2018	9/30/2019	No value was stated in the solicitation
PON 2568 - Revised Feb 2018	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.	2/8/2018	12/31/2018	\$82,000,000.00

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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.nyserdera.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@nyserdera.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.nyserda.ny.gov/flextech>) might be able to help.

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

1. ERS can help customers through the process of issuing a request for vendor bids.
2. Based on the results of either the preliminary analysis or a detailed study, investigate options in the CHP Catalog (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 wave this requirement on a case-by-case bases for sites located within a 500-year flood zone, but outside of a 100-year flood zone if a flood mitigation plan acceptable to NYSERDA is provided.

The CHP System prime mover(s) cannot produce more than 1.6 lbs-NO_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:
 - Location,
 - Usage (multi-family, hotel, industrial, etc.).
 - Size (square footage and a size metric appropriate for the usage such as 300 units in an apartment building, or 100 hotel rooms, etc.).
 - The overall annual electric and thermal consumptions, and peak electric demand.
 - The portions of the building, or the particular processes and systems that will be impacted by the proposed CHP system.
 - A description of the thermal loads and thermal storage.
 - A description of existing systems to be impacted by the installation of the CHP system (boilers, chillers, etc.) and whether or not any of this equipment will be replaced, removed, or decommissioned as part of this project.
 - A description of all existing distributed generation equipment (PV, fuel cell, other CHP, etc.) and all backup generation equipment on the site which is connected to serve the same electric load as the proposed CHP system.
 - Actual monthly electric consumption (for the meter or meters being impacted by the project)
 - Actual or modeled monthly thermal consumption for the relevant thermal load(s) (hot water, space heating, etc. including chilled water loads if a chiller is proposed) covering a 12-month period.
 - Actual monthly gas or fuel oil consumption covering a 12-month period (preferably the same period as above).
 - If the CHP System is not sized in accordance with NYSERDA's conservative sizing guidelines, provide a compendium of actual or modeled electric and thermal hourly load profiles for a 24-hour day representative of a weekday and a weekend for each of the four seasons, and an 8760-hour electric and thermal load profile representative of a complete year. When actual data is not available, modeled profiles can be generated using any industry recognized building modeling software that generates an 8760 profile for both electric and thermal loads. For existing buildings, modeled profiles must be calibrated using actual monthly consumption data and actual hourly coincident electric and thermal measurements for a period of not less than 14 continuous days during which no unusual events were happening in the building, such that the measured profiles are representative of typical operation.
 - If the CHP System is not sized in accordance with NYSERDA's conservative sizing guidelines, provide an analysis of the expected operation and performance of the proposed CHP system based on the 8760-hour load profile including monthly (12 consecutive months) and annual performance estimates, including:
 - operating efficiency,
 - fuel input, net electric (kWh) output (i.e. less parasitic electric use),
 - thermal energy generated,
 - thermal energy usable, and
 - run hours.
 - Financial analysis showing estimated costs (capital and operating) and savings, including the impact of transferring to a stand-by tariff for electric delivery (as well as staying on the parent tariff if eligible for such an option), and simple payback both with and without the expected NYSERDA incentive. The stand-by tariff analysis (and the parent tariff analysis,

if applicable) must include the impact of scheduled maintenance, and should include a sensitivity analysis for unplanned CHP system downtime.

- Drawings showing:
 - Floor plan showing equipment location, utility interconnection locations, and layout within the building/site. Indicated required maintenance and service clearances.
 - Any required changes to the building's structural components.
 - Mechanical and Plumbing (M&P) design, including makeup air and exhaust chimney - must show thermal monitoring sensor locations and type.
 - Electrical design - must show meter/sensor locations and type.
 - Gas design – must show meter location and type (if not included with the M&P drawings).
 - A Piping and Instrumentation Diagram (P&ID) of the complete CHP System formatted as an 8.5 x 11-inch PDF. If the Application is approved, this will become part of the contract.
- If the CHP System was not selected from the Catalog (projects using the Custom Approach) provide:
 - The make, model, and performance characteristic of all major components.
 - Cut sheets or web URLs for major components.
 - Documentation that the CHP System prime mover(s) will produce no more than 1.6 lbs-NOx/MWh (pounds of NOx per megawatt hour of electric production) at any point over the entire operating range of the prime mover.
 - Process diagram showing design flowrates, temperatures, and locations of meters and sensors, if not already included on the P&ID.
 - Description of the monitoring system and plan consistent with NYSERDA's CHP Monitoring Standard which can be found under RFI 2568.
 - Indicate means of noise attenuation to be employed.
- If rigging is required, provide a description.
- Description of the priority electric load(s).
- A copy of a letter from the electric utility either indicating that further review is not necessary, or providing a cost estimate for the Coordinated Electric System Interconnection Review (CESIR).
- A letter from your gas utility indicating that a preliminary determination shows that sufficient gas is available, if the CHP System will be fueled by pipe-line natural gas.
- A list of all required permits/approvals.
- A detailed project schedule.
- A completed and signed Part 1 of the Short Environmental Assessment Form (SEQRA)
- A copy of an electric utility bill showing payment of the relevant SBC Electric surcharge.
- If the CHP system will be installed to support critical infrastructure, provide documentation to support that claim.
- If the site is a facility of refuge, provide a letter from the American Red Cross or the local emergency management official designating the site as such, and documentation showing that the CHP system will benefit the portion of the building designated as a facility of refuge during a grid outage.
- If the site is within a Target Zone, provide documentation.
- Incentive Application 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



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.nyserdera.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@nyserdera.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.nyserda.ny.gov/flextech>) might be able to help.

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

1. ERS can help customers through the process of issuing a request for vendor bids.
2. Based on the results of either the preliminary analysis or a detailed study, investigate options in the CHP Catalog (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 wave this requirement on a case-by-case bases for sites located within a 500-year flood zone, but outside of a 100-year flood zone if a flood mitigation plan acceptable to NYSERDA is provided.

The CHP System prime mover(s) cannot produce more than 1.6 lbs-NO_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:
 - Location,
 - Usage (multi-family, hotel, industrial, etc.).
 - Size (square footage and a size metric appropriate for the usage such as 300 units in an apartment building, or 100 hotel rooms, etc.).
 - The overall annual electric and thermal consumptions, and peak electric demand.
 - The portions of the building, or the particular processes and systems that will be impacted by the proposed CHP system.
 - A description of the thermal loads and thermal storage.
 - A description of existing systems to be impacted by the installation of the CHP system (boilers, chillers, etc.) and whether or not any of this equipment will be replaced, removed, or decommissioned as part of this project.
 - A description of all existing distributed generation equipment (PV, fuel cell, other CHP, etc.) and all backup generation equipment on the site which is connected to serve the same electric load as the proposed CHP system.
 - Actual monthly electric consumption (for the meter or meters being impacted by the project)
 - Actual or modeled monthly thermal consumption for the relevant thermal load(s) (hot water, space heating, etc. including chilled water loads if a chiller is proposed) covering a 12-month period.
 - Actual monthly gas or fuel oil consumption covering a 12-month period (preferably the same period as above).
 - If the CHP System is not sized in accordance with NYSERDA's conservative sizing guidelines, provide a compendium of actual or modeled electric and thermal hourly load profiles for a 24-hour day representative of a weekday and a weekend for each of the four seasons, and an 8760-hour electric and thermal load profile representative of a complete year. When actual data is not available, modeled profiles can be generated using any industry recognized building modeling software that generates an 8760 profile for both electric and thermal loads. For existing buildings, modeled profiles must be calibrated using actual monthly consumption data and actual hourly coincident electric and thermal measurements for a period of not less than 14 continuous days during which no unusual events were happening in the building, such that the measured profiles are representative of typical operation.
 - If the CHP System is not sized in accordance with NYSERDA's conservative sizing guidelines, provide an analysis of the expected operation and performance of the proposed CHP system based on the 8760-hour load profile including monthly (12 consecutive months) and annual performance estimates, including:
 - operating efficiency,
 - fuel input, net electric (kWh) output (i.e. less parasitic electric use),
 - thermal energy generated,
 - thermal energy usable, and
 - run hours.
 - Financial analysis showing estimated costs (capital and operating) and savings, including the impact of transferring to a stand-by tariff for electric delivery (as well as staying on the parent tariff if eligible for such an option), and simple payback both with and without the expected NYSERDA incentive. The stand-by tariff analysis (and the parent tariff analysis,

if applicable) must include the impact of scheduled maintenance, and should include a sensitivity analysis for unplanned CHP system downtime.

- Drawings showing:
 - Floor plan showing equipment location, utility interconnection locations, and layout within the building/site. Indicated required maintenance and service clearances.
 - Any required changes to the building's structural components.
 - Mechanical and Plumbing (M&P) design, including makeup air and exhaust chimney - must show thermal monitoring sensor locations and type.
 - Electrical design - must show meter/sensor locations and type.
 - Gas design – must show meter location and type (if not included with the M&P drawings).
 - A Piping and Instrumentation Diagram (P&ID) of the complete CHP System formatted as an 8.5 x 11-inch PDF. If the Application is approved, this will become part of the contract.
- If the CHP System was not selected from the Catalog (projects using the Custom Approach) provide:
 - The make, model, and performance characteristic of all major components.
 - Cut sheets or web URLs for major components.
 - Documentation that the CHP System prime mover(s) will produce no more than 1.6 lbs-NOx/MWh (pounds of NOx per megawatt hour of electric production) at any point over the entire operating range of the prime mover.
 - Process diagram showing design flowrates, temperatures, and locations of meters and sensors, if not already included on the P&ID.
 - Description of the monitoring system and plan consistent with NYSERDA's CHP Monitoring Standard which can be found under RFI 2568.
 - Indicate means of noise attenuation to be employed.
- If rigging is required, provide a description.
- Description of the priority electric load(s).
- A copy of a letter from the electric utility either indicating that further review is not necessary, or providing a cost estimate for the Coordinated Electric System Interconnection Review (CESIR).
- A letter from your gas utility indicating that a preliminary determination shows that sufficient gas is available, if the CHP System will be fueled by pipe-line natural gas.
- A list of all required permits/approvals.
- A detailed project schedule.
- A completed and signed Part 1 of the Short Environmental Assessment Form (SEQRA)
- A copy of an electric utility bill showing payment of the relevant SBC Electric surcharge.
- If the CHP system will be installed to support critical infrastructure, provide documentation to support that claim.
- If the site is a facility of refuge, provide a letter from the American Red Cross or the local emergency management official designating the site as such, and documentation showing that the CHP system will benefit the portion of the building designated as a facility of refuge during a grid outage.
- If the site is within a Target Zone, provide documentation.
- Incentive Application 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



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

**Applications due April 11, 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: NYSEDA 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 January 10 at 10:00am, follow the instructions here: <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=eba723529c3475126f5b1c971e75d7ff8>. To register for the second informational session on February 15 at 2:00pm, follow the instructions here: <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=eb23995b54b4c983f3b65e3ae8d9bf42d>. 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. NYSEDA 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 NYSEDA’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 NYSEDA’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:
 - The completion of Energy Management Assessments to benchmark and track progress;
 - The development of facility goals and metrics;
 - The creation and maintenance of an Energy Intensity Model;
 - The identification of energy drivers and energy savings opportunities; and
 - 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.

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

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, NYSERDA may consider the following Program Policy Factors in making award selection decisions:

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

Accepted Applications: Selected Participants will be notified and the Participation Agreement (Attachment B) will be co-signed by NYSERDA and sent back to the Participant for their records. The Scoring Committee will meet 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 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 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain 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
\$ 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 on a first come, first served basis through
December 29, 2018 by 5:00 PM Eastern Time or until funding is exhausted.

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

The **REV Campus Challenge Technical Assistance for Roadmaps (the “Program”)** supports REV Campus Challenge members by enabling them to hire a third party energy consultant to aid in the evaluation of existing energy-related conditions on campus and establish a plan for managing changing campus energy needs (“Roadmap”). REV Campus Challenge members can apply to receive up to \$150,000 per member in 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. If you are a REV Campus Challenge member interested in this Program, but do not meet this eligibility criterion, please contact NYSERDA.

How to Apply:

Program funding requests **must be** submitted to commercialprograms@nyserdera.ny.gov and include the following:

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

Program questions can be directed to: Lindsay Holle, 518-862-1090 ext. 3051,
revcampuschallenge@nyserdera.ny.gov.

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

Introduction

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

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

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

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

II. Program Details

Funding

\$3 million is available through this Program. Funding will be administered as follows:

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

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

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

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

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

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

Applicant Responsibilities

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

- Visit www.nyserdera.ny.gov/rev-campus-challenge/ to become a REV Campus Challenge member.
- Visit www.nyserdera.ny.gov/flextech for the current listing of FlexTech Consultants.

The Applicant must:

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

Applicant and Energy Consultant Responsibilities

The Applicant and their energy consultant must:

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

Eligible Scope of Work Activities

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

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

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

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

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

REV Campus Challenge Member Collaboration

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

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

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

Student Intern Bonus

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

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

III. Application Requirements

Application Submission

Program funding requests must be submitted to commercialprograms@nyserda.ny.gov and include the following:

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

Application forms are available at www.nyserda.ny.gov/rev-campus-challenge.

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

Scope of Work

The submitted scope of work must include:

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

IV. Final Deliverables and Invoicing

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

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

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

V. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

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

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

Tax Law Section 5-a - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$150,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSEDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

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

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

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

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

V. Attachments

Attachment A: Technical Assistance for Roadmaps Application

Attachment B: Sample Budget Template

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

Attachment D: Sample Terms and Conditions



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 5:00 PM Eastern Time*
Round 2: August 29, 2018 by 5:00 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 5:00 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
- Analysis of priority charging locations based on utility grid constraints and travel demand

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

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, 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 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 NYSERDA 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 filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

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



Solicitation Guidelines for Open Enrollment
Commercial New Construction
Program Opportunity Notice (PON) 3609
\$2,355,000

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

Applications accepted 12/30/2017 through 12/31/2018 by 5:00 PM Eastern Time*

Program Summary:

The Commercial New Construction Program Opportunity Notice (PON) 3609 offers objective technical and financial support to building owners to effect a permanent transformation in the way buildings are designed and constructed in New York State. Technical support is offered on a first-come, first-served basis, subject to funding availability. Financial support is formally committed at the time NYSERDA issues a written pre-approval of the financial offer.

Application Submission:

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

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

No communication intended to influence this procurement is permitted except by contacting Stephen Finkle (Designated Contact) at (518) 862-1090, ext. 3505 or by e-mail Stephen.Finkle@nyserda.ny.gov, or Zachary Zill (Designated Contact) at (518) 862-1090, ext. 3092 or by e-mail Zachary.Zill@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 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:

The Commercial New Construction Program Opportunity Notice (PON) 3609 offers objective technical and financial support to building owners to effect a permanent transformation in the way buildings are designed and constructed in New York State. Technical support is offered on a first-come, first-served basis, subject to funding availability. Financial support is formally committed at the time NYSERDA issues a written pre-approval of the financial offer.

II. Program Requirements:

ELIGIBLE PROJECTS

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

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

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

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

APPLICANT ELIGIBILITY

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

To ensure eligibility to participate NYSERDA requests that applications be submitted at the schematic design phase or earlier.

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

III. Application Requirements

APPLICATION MANAGEMENT

At no cost to the Applicant, a NYSERDA representative will be assigned to the project to assist Applicants. The representative will interface with the technical consultant (see below), review scopes of work and studies, and be available to answer questions from the Applicant.

TECHNICAL SUPPORT

NYSERDA provides technical support, which may require a cost share from the Applicant, to help Applicants and their design teams assess and determine appropriate energy efficiency opportunities for the building. Applicants may select a technical consultant from a list maintained by NYSERDA, or may utilize the services of a provider of their choice, subject to NYSERDA approval. Technical support is also available for Applicants who incorporate Integrated Project Delivery in the project design and construction; and for commissioning of advanced heating, ventilating and air conditioning (HVAC) controls.

- **Integrated Project Delivery (IPD)** - as defined and described in Integrated Project Delivery – An Updated Working Definition, Version 3 Updated 7/15/14, published by the American Institute of Architects California Council. Copies are available through the California Council at www.aiacc.org.

FINANCIAL SUPPORT

NYSERDA provides financial support for deep energy savings and zero net site energy projects (see Attachment D: Commercial New Construction Support). Financial support is based upon the anticipated energy performance of the building relative to a designated baseline. Financial support covers a portion of the incremental costs of energy efficiency measures. Incremental costs are defined as the difference in cost between measures that would meet the designated baseline condition and the more efficient measures that will be installed in the building. Additional financial support is also available to offset a portion of the Applicant's cost for commissioning of advanced HVAC controls, to offset a portion of the Applicant's cost to include and execute Integrated Project Delivery in the building design, and to offset a portion of the Applicant's cost to incorporate a full range of Smart Building features in the project. See definitions below:

- **Designated Baseline** - ASHRAE 90.1-2013 Appendix G (as amended) or the version of ASHRAE 90.1 Appendix G under which the project is permitted, whichever is later.
- **Zero Net Energy** – projects where annually the energy generated by renewable on-site or distributed generation resources matches the building energy consumption.
- **Deep Energy Savings** – projects where the predicted energy savings exceed the designated baseline by a percentage as stipulated in the project support summary.
- **Smart Building** - an intelligent building which interconnects HVAC, lighting, plug loads, fire & life safety, security & access, people movement, analytics & management and smart metering to transform efficiency, comfort and safety for people and assets (source: Intel Corporation, Continental Automated Buildings Association Board Member)

NYSERDA will provide written pre-approval of energy efficiency measures qualified for financial support prior to measure installation. The pre-approval will be in the form of an Offer Letter. NYSERDA will not provide financial support for measures that are installed prior to NYSERDA issuance of the Offer Letter. Upon NYSERDA review and approval of the completed installation and supporting documents, a check or electronic transfer will be issued to the Applicant.

SUPPORT LEVELS

Support levels are categorized according to project size and complexity. Refer to Attachment D for descriptions and opportunities associated with each support level.

PROJECT INSPECTION, MEASUREMENT AND VERIFICATION

For projects receiving financial support, upon project completion NYSERDA may perform a field inspection to confirm installation of the energy efficiency measures. Financial support payments may be adjusted if measures are not installed or operating.

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

IV. GENERAL CONDITIONS

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 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 <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:

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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 two years with options to renew 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 application 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 (attached to this solicitation as Attachment A, B and C collectively) 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 (30) 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 (attached to this solicitation as Attachment A, B and C collectively). 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 – Commercial New Construction Program Terms and Conditions
Attachment B – NYSERDA Prompt Payment Policy
Attachment C – Standard Terms and Conditions for all NYSERDA Agreements
Attachment D – Commercial New Construction Support



REAL TIME ENERGY MANAGEMENT (RTEM)

Program Opportunity Notice (PON) 3689

\$33 Million Available for Commercial RTEM

\$5.7 Million Available for Industrial RTEM

\$830 Thousand Available for Multifamily RTEM

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 June 30, 2021 by 5:00 PM Eastern Time

The New York State Energy Research and Development Authority (NYSERDA) Real Time Energy Management (“RTEM”) Program (the “Program”) promotes effective, energy-efficient solutions for commercial, multifamily, and industrial sites and processes for practitioners in the energy management software and services sector. To accelerate the adoption of RTEM practices, NYSERDA is offering cost-shared support for integrating RTEM systems and services into existing buildings and facilities. This Program works in conjunction with NYSERDA RFQ 3691 Real Time Energy Management (RTEM) Qualified Vendor. Only NYSERDA RTEM Qualified Vendors may be Applicants to this Program.

RTEM technology is the combination of building data collection systems (sensors, meters, equipment feeds) with data analytics and building data information services that can show building management the actual state of building performance at any point in time. Service providers then capture the discreet data such as set points, power loads, flow rates, temperature and humidity, and feed the information back to site operators with key insights about operations and systems to fine-tune and identify capital projects.

Within the Industrial sector, RTEM technologies are often referred to as Energy Management Information Systems (EMIS) – software systems that store, analyze, and display energy consumption data collected from sensors, equipment feeds, and meters. EMIS for the industrial market offers entities the means to monitor energy consumption data in real-time and to identify operational changes and capital projects that will increase efficiency. EMIS incorporate environmental and production variables for a more thorough, holistic analysis of efficiency opportunities than energy consumption data alone.

NYSERDA’s RTEM Qualified Vendor list consists of both RTEM System Providers and RTEM Service Providers. RTEM System Providers are defined as providers of the monitoring hardware and software used to extract, process, and store energy usage data. RTEM Service Providers are defined as consulting services that customers contract with to analyze the data from the RTEM system installation and provide, enable, and/or implement energy savings measures based on the data.

The Program offers cost-sharing for RTEM system implementation and services for up to five (5) years (see Program Incentives).



How to Apply:

RTEM Qualified Vendors with eligible projects can log on to <https://nyserda-portal.force.com/login> to complete an Application.

Building Owners and Managers in need of an RTEM Qualified Vendor can visit the NYSERDA list at <http://www.nyserda.ny.gov/Contractors/Find-a-Contractor/RTEM-Qualified-Vendors>.

RTEM questions should be directed to rtem@nyserda.ny.gov or Michael Reed (866-NYSERDA, ext. 3244). All Contractual questions should be directed to Nancy Marucci (866-NYSERDA, ext. 3335) or nancy.marucci@nyserda.ny.gov.

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



NYSERDA INTRODUCTION

NYSERDA's Real Time Energy Management (RTEM) Program (the "Program") is intended to accelerate market adoption of RTEM systems and services. Furthermore, the Program will help to identify and expand the industry's best practices for leveraging RTEM technologies. The Program will focus on how to efficiently extract and analyze data that enables customers to receive the full potential of RTEM benefits.

Research shows that customers who unlock their site's energy data, at the system level, make better energy related decisions than if they were to use only monthly utility bills. NYSERDA seeks to demonstrate the value of comprehensive monitoring and metering analytics, and the advantages gained by obtaining system level energy usage data. The Program seeks to illustrate how customers can use RTEM to maximize energy performance and processes, improve equipment/building optimization, and provide better informed capital investment recommendations. The RTEM Program, is available to commercial, industrial, and multifamily customers. Some Program rules vary based on the sector.

This solicitation is divided into the following components:

- Section II: Eligibility
- Section III: Program Incentives
- Section IV: Application Requirements & Approval Process Overview
- Section V: General Conditions
- Section VI: List of Attachments

Definitions:

- **RTEM systems** are the monitoring hardware and software used to extract, process, and store energy usage data.
- **RTEM services** are ongoing consulting services that customers contract with to analyze energy usage data and provide, enable, and/or implement energy savings measures, such as energy efficiency or renewable energy, based on the data.
- **Qualified RTEM Vendors:** Any RTEM system, RTEM service, or RTEM system and service vendor who has qualified as a NYSERDA RTEM vendor through the RFQ 3691 process. Vendors qualified under the previous RFQ 3164 are considered qualified RTEM vendors.
- **Applicant** is the qualified RTEM vendor who is applying for an RTEM project cost-share incentive. Any qualified vendor may be the applicant. All project applications must include an RTEM service provider, unless the customer is granted an RTEM service waiver (Attachment B).
- **Customer** is the commercial, multi-family, or industrial facility owner or manager who is procuring the RTEM system and service.

ELIGIBILITY

ELIGIBLE APPLICANTS

NYSERDA intends for RTEM Qualified Vendors to apply to the Program with eligible participant site(s). Sites must work with an RTEM Qualified Vendor to receive project funding. To become an RTEM Qualified Vendor (RFQ 3691) apply on-line at <http://nyserda->



site.force.com/CORE_CONAPP_Program_Page?programFamily=Commercial&programName=Commercial Real Time Energy Management

Providers qualified to be an RTEM vendor for the commercial sector through RFQ 3164 are automatically qualified to apply for eligible commercial and multifamily sector RTEM projects. However, if a qualified vendor would like to apply for an RTEM project in the industrial sector, they will need to apply separately through RFQ 3691 to be qualified to serve the industrial sector.

If a provider is not already on NYSERDA's RTEM Qualified Vendor List, they are required to apply to RFQ 3691: RTEM Qualified Vendor. Applications to this Program from providers that are not on the RTEM Qualified Vendor List will not be approved until such time that the provider is accepted to the RTEM Qualified Vendor List. If the provider is rejected from the RTEM Qualified Vendor List, the project application will be rejected.

NYSERDA will make all system installation and service cost-share payments in this Program directly to the RTEM Project Applicant. If the RTEM System Provider is different from the RTEM Service Provider, then the RTEM Service Provider and the RTEM System Provider will be responsible for establishing their own payment arrangements. Customers can apply for a waiver to be exempted from the RTEM service requirement. In this instance, the RTEM System Provider would be the Project Applicant. Please see Attachment B for more details.

Building Owners and Facility Managers seeking NYSERDA funding for their sites must choose from NYSERDA's RTEM Qualified Vendor List. Firms interested in applying to be on the NYSERDA RTEM Qualified Vendor List may include, but are not limited to: energy management system providers, Energy Service Companies (ESCOs), energy consultants, and engineering companies. Providers that fail to qualify for the list will not be eligible to submit applications to this Program.

ELIGIBLE PARTICIPANT SITES

Participants must be 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.

Eligible participant sites include:

New York State commercial facilities which include, but are not limited to, office buildings, retail, colleges and universities, health care facilities, state and local governments, not-for-profit and private institutions, and public and private K-12 schools.

New York State industrial facilities which include, but not limited to, facilities involved in manufacturing, forest products, food and beverage processing, mining and extraction.

New York State multifamily buildings with five (5) or more units including rentals, cooperatives and condominiums.

ELIGIBLE PROJECTS



Awarded projects must be installed and commissioned within one year of receiving a NYSERDA Purchase Order (“PO”). A one-time extension of up to twelve months may be requested. Failure to install within the one-year timeframe or the approved extension timeframe will result in project cancellation.

RTEM systems that are installed prior to the launch of this Program are not eligible to receive a System Installation Cost-Share (as defined in Section III below).

Existing operational RTEM systems and service agreements are eligible for service cost-share (as defined in Section III below) provided all other Program requirements are met.

For commercial facilities, a tenant space that relies on base-building energy equipment can participate in the Program. The tenant’s building must either already have a qualified RTEM system installed or be in the process of pursuing an eligible RTEM project. In such cases, NYSERDA will cost share the additional cost of including a tenant in an RTEM project, and increase total project cost-share incentive to a maximum of \$200,000 (see section III Program Incentives for funding details). All other Program rules apply. Tenant spaces with dedicated energy equipment (e.g. chillers, air handling units, pumps, rooftop units) are eligible to apply as a standalone RTEM project and receive cost-share for both system and services.

Monitoring requirements:

All RTEM projects must monitor energy usage at levels more granular than the whole-building. The time frequency of energy data monitoring must be at least fifteen minutes or more frequent. All industrial projects must monitor and integrate production or production-related data. Monitoring hardware must be permanently installed, and not intended for temporary use.

The following are ineligible for funding:

- Whole-building monitoring or the installation of sub-meters in tenant spaces without incorporating an eligible RTEM system.
- Site-Based (local) dedicated controllers and control stations where control sequences are programmed and executed in real-time, with or without remote monitoring and remote access capabilities, are ineligible.
- An autonomous Building Automation System executing local terminal and machine control functions does not qualify.
- New facilities, or those that have undergone substantial renovations, that have been occupied for less than one year are ineligible.

III: PROGRAM INCENTIVES

All projects must include cost-sharing in the form of matching cash support from the site(s). NYSERDA will issue a single PO with a maximum incentive of \$155,000 to include as follows per site:

For RTEM System Installations:



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- NYSERDA System Installation Cost-Share is 30%.

For RTEM Services (1-5 years eligible):

- NYSERDA Service Cost-Shares are 30% for years 1 – 3;
- Applicants submitting for more than three years of service length will receive a reduced cost share of 20% in years 4 – 5.

There are two cost-share incentive options available. RTEM Applicants will be able to select, on project-by-project basis, either Option A or Option B, as seen below. It is important to note, system and service costs must be disclosed to NYSERDA, regardless of the payment option chosen. Additionally, for both options, payments will only be made to the RTEM Project Applicant. RTEM Project Applicants must disclose information regarding the NYSERDA RTEM cost-share amount for the participating site.

Incentive Levels:

Option A: available for when customers pay upfront costs for RTEM system installations. RTEM system cost-share is a one-time payment, RTEM service cost-share is an annual payment up to five years.

Option A Incentive Structure	
Incentive Type	NYSERDA Cost-Share
RTEM System Installation	30%
RTEM Service Years 1 – 3	30%
RTEM Service Years 4 – 5	20%

Option B: available when the RTEM system costs are embedded in the RTEM services costs, and the customer pays little or no upfront costs, allowing both the system and service costs-sharing structure to be stretched over a five-year period.

Option B Incentive Structure	
Incentive Type	NYSERDA Cost-Share
RTEM System/Service Years 1 – 3	30%
RTEM System/Service Years 4 – 5	20%

Additional requirements

- NYSERDA will issue a maximum of 5 years of cost-share regardless of contract length (i.e. system or service costs that extend past 5 years will not be eligible for cost-sharing).
- If the RTEM system costs are embedded into the RTEM services costs, the incentive structure will provide cost sharing for the RTEM service, as well as a weighted portion of the



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systems costs. The system cost-sharing shall not exceed the length of the RTEM contract, nor the 5-year requirement mentioned above. The RTEM Qualified Vendor will indicate, to the extent

possible, the expected costs of the RTEM systems and RTEM services payments in the contract.

FUNDING LIMITATIONS

Site Cap

Each qualifying project site is limited to receiving \$155,000 of program funding.

Commercial Portfolio Expansion Cap

A portfolio of commercial sites submitted as an aggregated project or as separate Applications having the same ownership or management capable of authorizing the installation of and acting upon information from a RTEM system are limited to receiving funding for either a maximum of ten (10) sites OR a combined square footage total of 300,000 ft².

Commercial Tenant Cap

NYSERDA will cost share the additional cost of including commercial tenant(s) in a RTEM project, and increase total site cost-share incentive to a maximum of \$200,000.

Provider Cap

Commercial and Multifamily sectors: each applicant is limited to receiving 20% of available, sector-specific program funding.

Industrial sector: there is no applicant funding cap.

Sites already receiving financial assistance in the form of grants through the New York Power Authority (NYPA) for compliance with Executive Order 88, or programs offered by their local utilities, are not eligible to receive incentives for the same activities under this Program. (Financing from NYPA or NY Green Bank is allowable in combination with cost-share from this Solicitation).

Cloud-based controls/analytics

Cloud-based analytic derived set-point changes, selection of control sequences or other generally supervisory modifications of fine tuning to site-based (local) controllers and control stations are eligible for inclusion into the RTEM system cost-share. Remote-initiated supervisory changes to set-point and selections of control sequence functionalities implemented using the same communication and data infrastructures as the pathway to the cloud-based repository, analysis routines, and visualization displays can be included in the eligible RTEM system work scope. Output devices and equipment without local intelligences that are used to translate analytics into physical actions (examples include relays for digital outputs, 4-20ma or 0-10V for analog outputs) are considered protocol converters and are eligible for inclusion into the RTEM system.

NYSERDA recommends qualified RTEM System Providers submit control type of functions for review and pre-approval prior to project proposal.

Onsite machine and system control functionalities such as Building Automation and Building Management Systems are ineligible.



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IV: APPLICATION REQUIREMENTS AND APPROVAL PROCESS OVERVIEW

APPLICANT:

Preferred: Applicants may apply on-line through a NYSERDA portal. The following documents will be requested:

1. Signed RTEM application agreement by RTEM Qualified Vendor.
2. Current, complete electric utility bill of each site documenting the SBC payment
3. RTEM System/Service Contract: full contract agreement between RTEM Qualified Vendor(s) and customer
4. RTEM System/Service Contract Addendum: specific information from the RTEM System/Service Contract that is reformatted as an addendum for NYSERDA review (see Attachment C).

Optional: In the event that industrial on-line applications are not available, RTEM Qualified Vendors may submit applications via email to rtem@nyserdera.ny.gov; the following information will be requested:

1. RTEM Industrial Project Application (Attachment A-1)
2. Current, complete electric utility bill of each site documenting the SBC payment.
3. For projects containing multiple sites, a completed Multiple Site Template (Attachment A-2)
4. A copy of the signed agreement between RTEM Qualified Vendor(s) and the site(s) installing and committing to services. The agreement(s) should specify the dollar amount and length of service years.

NYSERDA evaluates the project based on the above submitted information. All Applications will be reviewed on a first-come, first-served basis until funds are fully committed.

After the Applicant submits the Application, NYSERDA or its contractor will review the application in its entirety, and evaluate the RTEM system specifications and RTEM services offered. NYSERDA or its contractor will conduct a pre-installation site visit on at least the first two projects for all new Applicants. Applicants are encouraged to continuously engage with NYSERDA as they submit more projects for funding. Upon review and approval of the Application information and completion of the pre-installation site visit (if required), NYSERDA will notify the Applicant and site contact(s) that the Application is approved. NYSERDA will then issue a Purchase Order (PO) committing the system installation cost-share and a full five years of eligible cost-sharing services.

Note: An Applicant proceeding with project demolition or installation prior to the NYSERDA conducted pre-installation site visit and approval will not receive a system installation cost-share. NYSERDA is not committed to cost-sharing a project until a PO is issued.

If at any time the project, RTEM system, or services do not meet the minimum requirements established by the Program, the Applicant will not be eligible to receive funds and the project will be cancelled.

PROGRAM DELIVERABLES:



Participation in the Program requires the Applicant to submit the following deliverables to NYSERDA during the project:

1. RTEM System/Service Contract Addendum – as stated above, prior to receiving a PO from NYSERDA.
The Applicant will provide information and supporting documentation to NYSERDA to help summarize the projects scope of work and to ensure it meets the intent of the Program.
2. RTEM Installation and Commissioning Report – prior to receiving the system cost-share from NYSERDA.
The Applicant will provide information and supporting documentation to summarize the complete installation of the RTEM system and to explain the roles and responsibilities of project participants.
3. RTEM Service Reports
The Applicants will provide bi-annual information and supporting documentation to help summarize the performance of the project on a bi-annual basis. This includes a summary of energy usage over the given reporting period, pre and post analysis of any implemented energy savings measures (both capital and operation and maintenance (O&M) projects), and an account of potential future energy saving measures under consideration. The list shall also specify the expected energy savings and installation cost from each measure.

PROJECT PAYMENTS:

NYSERDA intends to issue progress payments based on the following:

1. System installation cost-share will be issued to the Applicant upon review and approval of installation and commissioning of the RTEM system. NYSERDA or its contractor will authorize the payment, the approval of required documents needed to prepare the RTEM Installation and Commissioning Report, and associated data. Failure to provide documents needed to complete the report within 30 days after the commissioning date may forfeit funding from this Program.
2. Service cost-share will be provided annually, after review and approval of all required Service Reports. This process will repeat each following year. If reporting is not received within the first six months after commissioning, and thereafter, Applicants may forfeit project funding from the Program.

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



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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/NYSERDARegulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
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://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/sfl139-j.htm> 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

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

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

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

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

VI: ATTACHEMENTS FOR REFERENCE

Attachment A-1 – RTEM Industrial Application

Attachment A-2 - Multiple Sites Template

Attachment A-3 - Terms and Conditions

Attachment B - Waiver of RTEM Service Requirement Request for RTEM Projects

Attachment C – RTEM Contract Addendum Guidelines



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.



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>.



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



On-site Energy Manager Pilot
Program Opportunity Notice (PON) 3701

Applications accepted through December 31, 2019 by 5:00 PM Eastern Time*

This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3701 seeks applications from facilities interested in participating in the On-site Energy Manager Pilot (the "Pilot") to demonstrate how a dedicated On-site Energy Manager (OsEM) can improve a company's profitability by delivering energy, process, and operational improvements. As part of the Pilot, NYSERDA will cost-share of up to 75% of OsEM fees.

The Pilot targets commercial and industrial facilities or campuses that do not have an existing dedicated full-time OsEM. Applicants must show a desire to continue the role beyond the Pilot engagement period and must be willing to share results and lessons learned to further the Pilot's objective of increasing the penetration of energy managers at commercial and industrial facilities.

Applicants seeking support for contracted OsEMs may select a consultant from the current list of NYSERDA Flexible Technical Assistance (FlexTech) Consultants. Applicants may also seek support for a new permanent hire or a hybrid of supplementing permanent staff with a Consultant.

A minimum of one webinar will be held regarding the Pilot. Additional information about the webinar and the Pilot in general can be found on the webpage: www.nyserda.ny.gov/OSEM.

Application Submission: Applications will be accepted via email to OnSiteEnergyManager@nyserda.ny.gov through December 31, 2019 or until all funds are fully committed.

Questions should be directed as follows:

Commercial Program questions: Joanna Moore, 518-862-1090 ext. 3220, joanna.moore@nyserda.ny.gov

Industrial Program questions: Stacey Sabo, 716-842-1522 ext. 3037, stacey.sabo@nyserda.ny.gov

All Contractual questions: Nancy Marucci, 518-862-1090 ext. 3335, nancy.marucci@nyserda.ny.gov

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

I. Introduction

The Pilot seeks to demonstrate the value of an OsEM role in commercial and industrial facilities such that the role becomes standardized and self-sustaining. Facilities will benefit from the successful energy and productivity projects that will be driven by OsEMs. Projects may include operation and maintenance improvements, behavioral changes, energy efficiency upgrades, process improvements, throughput and scrap reduction improvements, cost management, and other improvements such as water savings.

The purpose of the Pilot is to prove the business case for an OsEM role and to disseminate developed case studies and tools to the market for broader adoption. Pilot participants are required to share success stories and best practices to facilitate this market transformation activity. Post Pilot, participants who retain their OsEM and continue to demonstrate increased annual energy savings via reporting to NYSERDA may be eligible for a bonus payment (see Funding & Invoicing Section). Participants are encouraged to continue sharing success stories, even beyond the bonus period if applicable, through NYSERDA's website, Best Practice events, and other market transformation activities.

II. Eligibility Requirements

Eligible Applicants include NYS commercial and industrial facilities that pay into the electric System Benefits Charge (SBC).

In order to fully realize the benefit of energy management, the term of the OsEM contract will be a minimum of 12 months. Unless otherwise negotiated, all work cost-shared under this Pilot must be completed within 24 months of issuance of the Purchase Order (excluding the bonus payment period).

Applicants must:

- Not have an existing dedicated full time energy manager on-site.
- Effectively demonstrate the need for an OsEM per Attachment B: OsEM Concept.
- Perform the tasks listed in Attachment C: Scope of Work Requirements. Additional tasks related to energy management and productivity improvement may be added to the scope of work and will be subject to NYSERDA approval.

OsEM engagements must:

- Be at least 0.5 Full Time Equivalent (20 hours per week).
- Include cost-sharing in the form of cash support from the customer. In-kind contributions are allowed only in cases where the Applicant utilizes permanent staff.
- Use funds for OsEM services only and not for implementation or equipment purchase.

The OsEM must fall into one of the below designations:

- New permanent hire
 - Applicants seeking new permanent hires must secure the new hire within 3 months of receiving the NYSERDA Purchase Order.
- Supplementing permanent staff with contracted staff
- Contracted staff
 - Applicants utilizing contracted support may select a consultant from NYSERDA's FlexTech Consultant* list, which can be found at www.nyserderda.ny.gov/Contractors/Find-a-Contractor/FlexTech-Consultants.
 - The specific Consultant staff member who will be performing the OsEM role must be identified in the scope of work submitted with the application. There must be one dedicated individual who performs the on-site services and is the direct customer contact. It is acceptable to have junior Consultant staff perform lower level administrative tasks, although such delegation should not hinder the Pilot's intention of demonstrating the business case for a dedicated energy manager. Resumes of all Consulting staff involved must be included in the proposal.

* Firms interested in applying to becoming a NYSERDA FlexTech Consultant may do so through RFP 3628: <http://www.nyserderda.ny.gov/All-Programs/Programs/FlexTech-Program/Become-a-FlexTech-Consultant>.

III. OsEM Application & Required Documentation

Applications will be reviewed on a first-come, first-served basis dependent on funding availability. A complete application package consists of:

- **Applicant Information and Certification (Attachment A)**
- **OsEM Concept (Attachment B)** to justify the need for an OsEM.
- **Scope of Work (per Scope of Work Requirements, Attachment C)** with facility energy reduction goal, tasks, deliverables, and project schedule.
- **Detailed budget (per Budget Template, Attachment D, or equivalent)** including a breakout by task and by title, hourly rate, hours, and non-labor costs.
- **OsEM resume*** (for staff, contractor, or both depending on support sought) or job description. Please highlight:
 - Relevant qualifications such as licensed Professional Engineer (P.E.), Certified Energy Manager (CEM), Certified Energy Auditor (CEA), etc.
 - Past experience as energy advisor to the sector
 - Demonstrated business acumen and leadership skills to be able to sell energy projects to upper management
- * If the new permanent hire is not yet identified, the job description which reflects the Pilot criteria must be included. Resume of proposed candidate must be submitted once identified.
- **Facility company organizational chart and reporting structure** for OsEM role.
- **Statement of commitment from facility's upper management** (corporate officer or executive staff)

Application Review Process:

NYSERDA will review each application package for completeness and to ensure reasonableness across the following areas:

- OsEM experience, qualifications, and leadership skills
- OsEM integration
- Cost & time allocation
- Labor rates
- Energy savings target (for the cost-shared 12-24 month engagement) relative to the facility's annual energy usage

After a complete application package is reviewed, NYSERDA will inform the Applicant of their selection status. NYSERDA intends to work with Applicants during the review process through the sharing of comments and recommendations for scope of work improvement to encourage successful applications.

This may include:

- Making adjustments to the contract period and funding levels
- Reducing the NYSERDA cost-share based on hourly rates presented
- Making adjustments to the proposed scope of work and required reporting

Applications will be rejected when:

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

IV. Funding & Invoicing

Funding Overview:

Facility Consumption (aggregated)	OsEM Cost-Share (initial 12-24 month term)	OsEM Bonus #1 (12 mo after initial term)	OsEM Bonus #2 (24 mo after initial term)
Greater than \$1M annual energy spend	Up to 75% cost-share not to exceed \$200,000	\$7,000	\$7,000
Less than \$1M annual energy spend	Up to 75% cost-share not to exceed \$100,000	\$5,000	\$5,000

OsEM Cost-Share:

- NYSERDA will contribute up to 75% towards the allowable OsEM fees. Per task and budget detail in the approved scope of work.
- NYSERDA's cost-share for the OsEM will be paid directly to the Applicant.
- For Applicants with annual energy costs greater than \$1 million (all fuels), the maximum OsEM cost-share excluding bonus payments is \$200,000.
- For Applicants with annual energy costs less than \$1 million (all fuels) the maximum OsEM cost-share excluding bonus payments is \$100,000.

OsEM Bonus:

Applicants may be eligible for a bonus payment for each additional year of continued OsEM engagement, capped at 2 additional years, for a potential total agreement term of 48 months. Applicants will be required to demonstrate successful engagement of the OsEM during the initial term, as well as the continued value of the OsEM, in order to be considered for a bonus payment.

- Applicants will be required to report the continued energy saving impacts and financial investments to NYSERDA at the conclusion of each additional year.
- Reported energy savings impacts for each bonus year period must be equal to or greater than 1% of the site's prior 12 month energy consumption to receive a bonus payment.
- Bonus payment reporting requirements are outlined on NYSERDA's OsEM page: www.nyserderda.ny.gov/OSEM.
- Bonus payments are subject to NYSERDA's review and approval.

Invoicing:

- Invoices for OsEM services should be broken out by non-labor costs, individuals, titles, hourly rates, dates and hours worked on each task.
- Invoices should also indicate the amount that is being invoiced concurrently to/paid for by the site. If applicable, NYSERDA may also require a copy of the customer's canceled check paying their OsEM engagement cost-share.
- Travel costs are limited to 3% of the total OsEM engagement cost.
- Invoices may be submitted no more frequently than monthly at <https://services.nyserderda.ny.gov/Invoices/>.
- NYSERDA will issue the Bonus payments directly to the Applicant after review and approval of each bonus period report.
- NYSERDA reserves the right to withhold payment in cases where program deliverables are not being met, as outlined in the approved scope of work.

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. 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 scope of work modifications or negotiations before issuing a Purchase Order. Each application should be submitted using the most favorable cost and technical terms. Preference may be given to facilities with annual aggregated energy costs greater than \$500,000. NYSERDA will use Attachments A, C, D and E 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 three (3) 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 a proposal, 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 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: Applicant Information and Certification

Attachment B: OsEM Concept

Attachment C: Scope of Work Requirements

Attachment D: Budget Template

Attachment E: Terms and Conditions



NYSERDA

**Workforce Training: Building Operations and Maintenance
Program Opportunity Notice (PON) 3715
\$6,700,000 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 May 30, 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 May 30, 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?
 - Does the Scope of Work clearly identify skills gaps being addressed and the training initiatives to address those gaps?
 - Are the type and number of workers being trained specified in each training task and overall?
 - Is there a task that outlines steps that will be taken to ensure the project results in a sustainable effort that is incorporated into the corporate culture?
- Replicable – 10 points
 - Can the project be replicated throughout an organization that employs building operation and maintenance workers or throughout a proposing team?
 - Will the project result in deliverables that can be used to share project results and lessons learned with other similar organizations or building types?
- Efforts to Hire Workers that Need Assistance Entering the Clean Energy Labor Market – 10 points
 - Is there a component to identify and explore opportunities to hire and advance the skills of unemployed, under-employed, transitioning, or displaced workers?
- Plan to Identify and Measure Non-Energy Benefits – 8 points
 - Is there a reasonable strategy for measuring or monitoring non-energy benefits and impacts (i.e., cost savings, reduced staff turnover, increased occupant satisfaction, reduced tenant turnover, reduced equipment downtime, and/or increased number of worker certifications)?
- Maximize Impact and Leverage Existing Resources - 8 points
 - Is there leveraging of resources, such as subject matter experts, curriculum, equipment, training facilities, etc.)?
 - Are there teaming arrangements between employers, across multiple properties, or with training providers?

Programmatic Considerations:

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

IX. Evaluation Process

Evaluation Process:

Proposals that meet the eligibility and project requirements detailed in Sections II, III, and IV will be reviewed at least biweekly by a Scoring Committee using the Evaluation Criteria identified above. After the proposals are reviewed, NYSERDA will inform each proposer of their selection status. Applicants receiving favorable evaluations may also be asked to address specific questions or recommendations of the Scoring Committee, or make modifications to the Scope of Work before being awarded funding. NYSERDA reserves the right to accept or reject

any or all proposals received, to negotiate with all qualified sources, or to cancel the PON in part or in its entirety when it is in NYSERDA's best interest. NYSERDA may request additional data or material to support proposals.

Successful Proposals:

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

Denied Applications:

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

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



Multifamily New Construction Program

Program Opportunity Notice (PON) 3716
\$11,006,000 Available

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

Applications accepted November 2017 through December 31, 2018 by 5:00 PM Eastern Time or until funds are fully committed, whichever occurs first. *

The Multifamily New Construction Program (MF NCP) offers technical support and incentives to developers of multifamily high rise new construction and gut rehabilitation projects. The multi-tiered incentive structure is intended to promote increased levels of performance, up to and inclusive of net zero energy performance, identifying replicable and integrated design solutions by focusing on cost optimization analysis and financing strategies that recognize operational costs and management of perceived risks. The goal is to increase awareness of and demand for advanced clean energy solutions while strengthening the capacity of clean energy professionals to deliver design and construction services. Use of solar photovoltaic generation and other renewable energy systems, as well ground source heat pumps and other innovative technologies, are encouraged to achieve the higher performance targets. The Applicant is expected to hire a Multifamily New Construction Program Partner (Partner) to act as the primary resource for their participation. MF NCP significantly but not exclusively targets the Low to Moderate Income (LMI) housing sector, supporting New York State and New York City housing agencies as well as other funding authorities in their efforts to secure efficient, durable, resilient and healthy housing. MF NCP is closely aligned with NYSERDA's Low-Rise Residential New Construction Program (LR NCP) to more seamlessly support the higher performance multifamily new construction market.

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). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), click the link "NYSERDA Solicitation User Guide [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

If you have technical questions concerning this procurement, contact Patrick Fitzgerald (Designated Contact) at (518) 862-1090, ext. 3385 or by e-mail Patrick.Fitzgerald@nyserda.ny.gov, or Zachary Zill (Designated Contact) at (518) 862-1090, ext. 3092 or by e-mail Zachary.Zill@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 may result in (1) the proposer being deemed a non-responsible offerer, and/or (2) 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 proposals will not be accepted. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov/>.

1 Introduction

MF NCP offers technical support and incentives to developers of multifamily high rise new construction and gut rehabilitation projects. The multi-tiered incentive structure is intended to promote increased levels of performance, up to and inclusive of net zero energy performance, identifying replicable and integrated design solutions by focusing on cost optimization analysis and financing strategies that recognize operational costs and management of perceived risks. The goal is to increase awareness of and demand for advanced clean energy solutions while strengthening the capacity of clean energy professionals to deliver design and construction services. Use of solar photovoltaic generation and other renewable energy systems, as well ground source heat pumps and other innovative technologies, are encouraged to achieve the higher performance targets. The Applicant is expected to hire a Partner to act as the primary resource for their participation.

MF NCP significantly but not exclusively targets the LMI housing sector, supporting New York State and New York City housing agencies as well as other funding authorities in their efforts to secure efficient, durable, resilient and healthy housing. MF NCP is closely aligned with NYSERDA's LR NCP to more seamlessly support the higher performance multifamily new construction market.

For additional information and related documents, please visit the Multifamily New Construction website page at: <https://www.nysERDA.ny.gov/All-Programs/Programs/Low-Rise-Residential/Mid-and-High-Rise-Multifamily-Buildings>

2 Program Eligibility and Application Requirements, Incentives

At the onset of their relationship with a potential Applicant and prior to submitting a MF NCP Application Package to NYSERDA, the Partner must work with the potential Applicant to determine MF NCP eligibility, market type and estimated incentives.

2.1 Establishing a project

This section details the requirements for determining MF NCP eligibility.

2.1.1 Eligibility Requirements

Applicants will be required to execute a MF NCP Terms and Conditions (Attachment B) with NYSERDA, and deliver completed projects that, at a minimum, meet the requirements detailed in these Guidelines and other MF NCP documents. To be eligible for MF NCP participation, a project must be, or be capable of and intend to be, a New York State electricity distribution customer of a participating utility company that pays into the System Benefits Charge. Project eligibility is fuel-neutral.

Requests by Applicants who had previously applied to PON 3319 but have yet been issued an Award Letter from NYSERDA will be accepted to participate in PON 3716 in lieu of PON 3319. Additionally, requests by Applicants who had previously applied to PON 3319 and have been issued an Award Letter from NYSERDA to participate but who have not yet received an incentive payment from NYSERDA will also be accepted to participate in PON 3716 in lieu of PON 3319.

NYSERDA has the sole discretion for determining an Applicant's eligibility to participate.

2.1.1.1 Project Size

The project must be a multifamily building(s) with four (4) or more stories.

Low-rise buildings, defined as having three (3) or fewer stories, are not eligible for MF NCP, and may apply to NYSERDA's PON 3717 Low-Rise Residential New Construction Program (LR NCP). For additional information on the LR NCP, please visit: <http://www.nyserda.ny.gov/All-Programs/Programs/Low-Rise-Residential/Low-Rise-Residential-New-Construction-Multifamily>

2.1.1.2 Eligible Types of Construction

The MF NCP will accept both new construction and gut rehabilitation, as defined below:

New Construction: A new building, or portion within a new building, where a licensed professional architect or engineer has prepared and certified the building plans.

Gut Rehabilitation: Substantial renovation, one of the following types of projects where a licensed professional architect or engineer has prepared and certified the building plans:

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

2.1.1.3 Intended Use

The primary intended use of the building should be residential.

Projects may contain non-residential (commercial and/or retail) space if that space does not consist of more than 50 percent of the occupiable square footage of the entire building. Commercial and/or retail space within a primarily residential building supported by MF NCP may be eligible to access additional support through NYSERDA's Commercial New Construction Program.

Commercial facilities, such as motels/hotels, group homes, dormitories, shelters, monasteries, nunneries, assisted living facilities and nursing homes are not typically eligible for MF NCP but may be deemed by NYSERDA as

eligible either in whole or in part, based on a case-by-case review of the intended use, expected occupancy, and performance path indicated by the Applicant.

Supportive Housing, single room occupancy (SRO) facilities, and senior living residences may be deemed by NYSERDA as eligible for MF NCP, based on a case-by-case review. Supportive Housing is defined as residences that are owned and operated by non-profit organizations. Tenants are individuals and families who require both affordable permanent housing and support services, have lease agreements, pay rent (often a percentage of their income) and abide by the terms of their lease. This includes people who have been homeless, have histories of substance abuse, are coping with mental illness, have chronic illnesses like HIV/AIDS, are young adults aging out of foster care, are homeless veterans, or are grandparents raising grandchildren.

This is not a comprehensive list of property types that are eligible for MF NCP. Special circumstances may be reviewed by NYSERDA and considered for eligibility on a case-by-case basis.

2.1.1.4 ENERGY STAR Eligibility

Projects that have applied to MF NCP that meet the Performance Path with ENERGY STAR requirements are eligible to apply directly to the EPA for the ENERGY STAR MFHR label for the units within the building. Use the EPA's ENERGY STAR Multifamily New Construction Program Decision Tree to determine whether your project qualifies for the ENERGY STAR label:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_bldg_eligibility.

All of the EPA's ENERGY STAR MFHR referenced documentation is located at:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

Please refer to the EPA for more information on the ENERGY STAR MFHR Certification Process:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_certification

2.1.2 Definition of a Project

For the purposes of MF NCP, a project is defined as a building or group of identical buildings. The Partner will develop one Building Performance Plan or complete one Modified Prescriptive Path Calculator for each project. Each building in a project must adhere to the requirements of the approved compliance path, including the applicable testing and verification protocols. Each building may be subject to separate Open Wall Inspections.

A group of buildings that includes more than one building design must apply to MF NCP as multiple projects. The Partner must submit a separate Application Package for each building design. At the modeling stages, the Partner must submit a separate Building Performance Plan or Modified Prescriptive Path Calculator for each design.

Final determination of how a project is defined is at NYSERDA's discretion.

2.1.3 Determining Market Type

Once the Partner has worked with the Applicant to verify that the project is eligible for MF NCP, they must determine the project's market type: Low to Moderate Income or Market Rate. NYSERDA defines Low to Moderate Income (LMI) projects as projects in which the majority of dwelling units are expected to be occupied by households earning no more than 80 percent of the State or Area Median Income, whichever is greater. All properties are considered Market Rate unless eligibility for the LMI incentive amounts can be established, on a per dwelling unit basis, by applying one of the methods detailed in Section 2.1.3.1.

2.1.3.1 Low to Moderate Income (LMI)

To establish eligibility for the LMI incentive amounts and project caps, documentation must be submitted as soon as possible and prior to the first incentive payment the project is eligible for, which is dictated by the selected compliance path. There are three methods to verify that the project is eligible for LMI incentives:

- a. *Proxy*: NYSERDA allows certain proxies to verify LMI eligibility. Please see Table 2.1 for approved proxies. Additional proxies may be considered by NYSERDA to establish eligibility for LMI incentives on a case-by-case basis. The number of eligible LMI dwelling units for projects funded through NYS

Housing Finance Agency's (HFA's) 80/20 Program or NYC HDC's 80/20 or Mixed Income Programs may be established based on their regulatory funder's award letter or contract documents.

- b. *Rent Roll:* The Rent Roll method applies only to gut rehabilitation projects that do not meet the LMI eligibility proxies; or to projects funded through NYS HFA's 80/20 Program or NYC HDC's 80/20 or Mixed Income Programs. This method may not be combined with the Resident Income method. Applicants must submit the annual rent, size, and occupancy for each apartment in the project. The majority of dwelling units must have a calculated household income no greater than 80 percent of the State or Area Median Income based on the assumption that 30 percent of household income is applied to housing costs (i.e. rent). A calculation spreadsheet tool is available on NYSERDA's website for determining Rent Roll income eligibility.
- c. *Resident Income:* The Resident Income method applies only to gut rehabilitation projects that do not meet the LMI eligibility proxies; or to projects funded through NYS HFA's 80/20 Program or NYC Housing Development Corporation's (HDC's) 80/20 or Mixed Income Programs. This method may not be combined with the Rent Roll method. Applicants must submit signed Resident Income Certification forms with supporting documentation for a majority of the project's dwelling units. Resident Income Certification Instructions and related forms are available on NYSERDA's website.

2.1.3.2 Market Rate

Eligible projects that do not qualify for LMI incentives amounts and project caps as detailed above may be eligible for Market Rate incentives.

Table 2.1 Low-to-Moderate (LMI) Proxies

ELIGIBILITY PROXY	DESCRIPTION	TYPE OF DOCUMENTATION ¹
1. US HUD, USDA-RD, and other Federally Regulated LMI Housing	<p>Properties that receive subsidies from HUD or USDA-RD based on household income may be defined as LMI, based on household income criteria detailed in the contract or award, including regulatory control or structures such as:</p> <ul style="list-style-type: none"> • Section 8 Contract • Sections 202, 236, 811 • Public Housing Authorities 	Submit a copy of the HUD contract or contract award notice.
2. NYS HCR- Regulated LMI Housing	Properties with subsidized mortgages or contracts that place them under the regulatory control of HCR may be defined as LMI, based on household income criteria detailed in the HCR contract or award.	Submit a copy of HCR contract or contract award notice.
3. Low-Income Housing Tax Credits	Properties that receive tax credits may be defined as LMI based on household income criteria detailed in the tax credit award notice.	Submit a copy of tax credit award notice from HCR or HPD.
4. NYC HPD- Regulated LMI Housing (or similar local housing agencies)	Properties with loans, mortgages, or deeds of purchase (HDFC incorporation) from HPD or similar local housing agencies may be defined as LMI, based on household income criteria detailed in the award documentation.	Submit documentation of current mortgage, loan closing, HDFC incorporation, or deeds.
5. SONYMA Mortgage Insurance	Properties subsidized for LMI residents with SONYMA subsidized financing through the HFA may be defined as LMI, based on household income criteria detailed in the contract or award.	Submit a copy of loan closing/ mortgage insurance award documents.
6. Participation in NYS HFA's 80/20 Program or similar HFA-regulated offerings	Properties that have been accepted into the HFA's 80/20 Program, or similar HFA-regulated offering, may be defined as LMI based on household income criteria detailed in the contract or award.	Submit a copy of the award letter or HFA contract documents.
7. Participation in NYC HDC's 80/20 or Mixed Income Programs or similar HDC-regulated offerings	Properties that have been accepted into the NYC HDC's 80/20 or Mixed Income Program, or similar HDC-regulated offering, may be defined as LMI based on household income criteria detailed in the contract or award.	Submit a copy of the award letter or HDC contract documents.

Glossary of Terms:

- USDA – United States Department of Agriculture
- US HUD – United States Department of Housing and Urban Development
- NYS HCR – New York State Housing and Community Renewal
- NYS HFA – New York State Housing Finance Agency
- NYC HDC – New York City Housing Development Corporation
- NYC HPD – New York City Housing and Preservation Development
- SONYMA – State of New York Mortgage Agency

¹When any related proxy does not require 100% of households to meet LMI requirements, the number of dwelling units associated with the project at each household income level must be clearly detailed in the submitted documentation.

2.2 Incentives

Projects that have received a funding commitment from NYSERDA for Tier 2 or Tier 3 performance targets and that have met all those requirements are eligible to request payment of the corresponding incentives. The incentives available through MF NCP are based on market type, the year the complete application was submitted, number of dwelling units, and performance tier.

2.2.1 Calculating Incentives

There are separate incentive schedules for LMI and market-rate projects. Additionally, different incentives are offered to projects based on the year the complete application was submitted, number of dwelling units, performance tier, and market type for the dwelling units associated with the project.

For projects that have up to 50 dwelling units, the incentive per dwelling unit amount listed for “Up to 50 dwelling units” applies to all dwelling units. For projects that have more than 50 dwelling units, the first 50 dwelling units receive the incentive per dwelling unit amount listed for “Up to 50 dwelling units,” and the balance of the units receive the incentive per unit amount listed for “More than 50 dwelling units.”

Examples:

A Tier 2 project with 40 LMI-qualified dwelling units that applies in 2017 would be eligible to receive:
 $40 \text{ dwelling units} \times \$1,000/\text{unit} = \$40,000$

A Tier 2 project with 80 LMI-qualified dwelling units that applies in 2017 would be eligible to receive:
 $(50 \text{ dwelling units} \times \$1,000/\text{unit}) + (30 \text{ dwelling units} \times \$600) = \$68,000$

Per project incentives are capped based on market type, year of application and performance tier.

LMI						
2016			Performance Tier	2017-18		
Up to 50 dwelling units	More than 50 dwelling units	Cap		Up to 50 dwelling units	More than 50 dwelling units	Cap
\$ -	\$ -	\$ -	Tier 1	\$ -	\$ -	\$ -
\$ 1,000	\$ 600	\$ 100,000	Tier 2	\$ 1,000	\$ 600	\$ 100,000
\$ 3,500	\$ 3,000	\$ 300,000	Tier 3	\$ 3,500	\$ 3,100	\$ 300,000

Market Rate						
2016			Performance Tier	2017-18		
Up to 50 dwelling units	More than 50 dwelling units	Cap		Up to 50 dwelling units	More than 50 dwelling units	Cap
\$ -	\$ -	\$ -	Tier 1	\$ -	\$ -	\$ -
\$ 500	\$ 300	\$ 50,000	Tier 2	\$ 450	\$ 200	\$ 100,000
\$ 2,500	\$ 2,000	\$ 200,000	Tier 3	\$ 1,600	\$ 1,400	\$ 300,000

2.2.2 Incentive Payment Schedules

The Applicant will receive the incentives that NYSERDA has approved for their project after each submittal Stage has been approved.

Incentive payment at each Stage is a set percentage of the total approved incentive. The incentive payment schedule is based on compliance path and performance tier.

To receive the full incentive amount, projects must verify that they have achieved the performance targets specified in their approved performance tier, and each submittal must be approved by NYSERDA. If the project does not meet the performance target, the Partner must contact the NYSERDA-designated liaison, as defined in 3.3.3(2), prior to submittal. The NYSERDA-designated liaison will provide the adjusted incentive amount, if applicable.

MF NCP - Incentive Payment Schedule						
	Stage 1		Stage 2		Stage 3	
	Performance Path, PHI, PHIUS	MoPP	Performance Path, PHI, PHIUS	MoPP	Performance Path, PHI, PHIUS	MoPP
Performance Tier	LMI and Market Rate					
Tier 1	N/A	N/A	N/A	N/A	N/A	N/A
Tier 2	25%	N/A	25%	50%*	50%	50%*
Tier 3	10%	N/A	35%	N/A	55%	N/A

*gut rehabs only

2.2.3 Renewable Energy, Ground Source Heat Pumps, and Other Innovative Technologies

Applicants to MF NCP are encouraged to incorporate solar photovoltaics² and other renewable energy systems, as well ground source heat pumps and other innovative technologies, into their projects to achieve the performance targets. Applicants are not restricted from receiving targeted incentives additionally available from other NYSERDA programs to support those types of installations.

2.3 Application Documents and Processing

Upon identifying an eligible project, the Partner, in consultation with the Applicant, should submit a MF NCP Application. This Section outlines the process and requirements for submitting a complete Application Package. Reference the Application Submittal Checklist (Attachment D), which can be found on NYSERDA’s website, for more details.

2.3.1 Application Package Contents

1. *Project Application Form (Attachment C)*: identifies basic information about the project. The Applicant (Property Owner/Company Name) must exactly match the Terms and Conditions (Attachment B). The name of the Applicant must be complete, including the company designation (Inc., Co., LLC, LP, etc.).
2. *Terms and Conditions (Attachment B)*: an acknowledgement by the Applicant of the MF NCP requirements. The person who signs the Terms and Conditions must be the authorized signatory for the Applicant organization. An authorized signatory has the ability to contractually bind your organization. (An authorized signatory may be different from the project manager or primary contact.)
3. *LMI Documentation* (if applicable)
4. *EPA’s ENERGY STAR MFHR Developer Partnership Agreement* (if not previously submitted and for Performance Path with ENERGY STAR projects only): to be completed by the developer/owner responsible for the project’s design, financing and construction. A copy of the Agreement can be obtained from the following ENERGY STAR website:
https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_dev_partners

² Projects that otherwise meet the Tier 3 requirements intending to seek NYSERDA’s commitment for and payment of those Tier 3 incentives will be required to locate the solar electric array(s) on-site, co-located with the project’s buildings. Project applicants may seek a waiver from NYSERDA to allow a properly sized solar electric array to be located on a remote site and in a manner that allows a remote net metering arrangement to achieve the required offset of the project’s predicted energy use. To receive NYSERDA’s approval of the waiver request, the Applicant must demonstrate the solar electric array’s ownership is structured in a manner that assures its output will be dedicated to the project.

2.3.2 Completion Instructions

1. Review the Application documentation for completeness. Check the Project Application Form (Attachment C), Terms and Conditions (Attachment B), LMI Documentation (if applicable), and EPA's ENERGY STAR MFHR Developer Partnership Agreement (if applicable) for completeness and accuracy before starting an online application.
2. Start an online application. The Application Package must be submitted online via the CRIS Database. The Partner will log in to the CRIS database using the Partner's login and password. Use the Project Application Form to complete the Application.
3. Upload Application documents. Upload the Terms and Conditions, LMI Documentation (if applicable), and ENERGY STAR MFHR Developer Partnership Agreement (if applicable).
4. The CRIS database will acknowledge your complete application via email.
5. NYSERDA will review the application. NYSERDA will contact the Partner and the Applicant to confirm application receipt.

NOTE: Submission of a completed application does not entitle the Applicant to MF NCP participation, nor payment of incentives. Final determination of project eligibility, NYSERDA's commitment of incentives, and payment of incentives resides with NYSERDA.

2.3.3 Contact Information

1. Eligibility, Intake and Application Inquiries - A team of individuals reviews each Application and responds to inquiries related to applications, eligibility and intake. Inquiries should be directed to NYSERDA at ResMFNCP@nyserda.ny.gov.
2. Project Inquiries - After receiving emailed confirmation that the Project Application Form (Attachment C) has been received, all project-related correspondence between the Partner and NYSERDA must be directed to the NYSERDA-designated liaison. This designee receives and reviews MF NCP submittals from the Partner, answers programmatic questions, and serves as a daily contact informed of your project's programmatic progress. Contact information will be provided upon assignment.

2.4 Scoping Session

Once NYSERDA has approved the project's application, NYSERDA or its designee will schedule a Scoping Session with the Applicant, the Partner and the project team. The intent of the Scoping Session is to discuss general project information and review MF NCP requirements and responsibilities for each party. The Scoping Session may also identify additional documents required to allow the project to be established in NYSERDA's financial systems. Knowledgeable representatives from both the Partner and Applicant are required to attend the Scoping Session. After the Scoping Session, if all parties agree to move forward with this project in MF NCP, NYSERDA will send a MF NCP Award Letter to the Applicant verifying that the application is approved to participate in the MF NCP. Final approval and issuance of the MF NCP Award Letter are at NYSERDA's discretion.

3 Technical Requirements

MF NCP offers project teams technical support and guidance to achieve higher levels of energy performance as well as health and safety through-out the planning and construction process. Projects must meet the requirements detailed in this document and the MF NCP Guidelines (Attachment A), and achieve their approved performance targets to receive NYSERDA's financial incentives (if applicable).

3.1 Compliance Paths

At the time of application, projects must select one of the following compliance paths:

3.1.1 Performance Path with ENERGY STAR®

This compliance path follows the standards developed by the US Environmental Protection Agency (EPA) for the ENERGY STAR Multifamily High Rise (MFHR) program. This pathway requires the Partner to create a model of the proposed building design based on the American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE) standards and compare it to a baseline model. Additionally, the difference in the source energy use predicted by the two models must equal or exceed the performance target specified in the project's approved performance tier. Projects following the Performance Path with ENERGY STAR are required to adhere to all ENERGY STAR MFHR Performance Path Prerequisites and ENERGY STAR MFHR Testing & Verification Protocols. See Section 2.1.1.4 for information on ENERGY STAR MFHR eligibility, and Section 4 for more information on this pathway.

3.1.2 Passive House Institute US (PHIUS)

Projects following this compliance path must comply with the PHIUS+ Multifamily Certification Standard developed by the Passive House Institute US (PHIUS). The project must contract with a Certified Passive House Consultant (CPHC®) and a PHIUS+ Verifier, and must pursue, and obtain, certification by PHIUS. In addition to meeting the PHIUS requirements, project pursuing PHIUS+ certification are required to submit the ENERGY STAR MFHR Photo Template. Refer to Section 5.3.2 for more details on this template, and Section 5 for more information on this pathway.

3.1.3 Passive House Institute (PHI)

Projects following this compliance path must comply with the Passive House Standard developed by the Passive House Institute (PHI). The project must contract with a certified PHI Consultant or Designer and an accredited PHI Certifier, and must pursue, and obtain, certification by PHI. In addition to meeting the PHI requirements, projects pursuing PHI certification are required to submit the ENERGY STAR MFHR Photo Template. Refer to Section 6.3.2 for more details on this template.

The North American Certifiers Circle is currently developing a third-party verification program called VeriPHY. Until VeriPHY is released, projects following this compliance path must record the results of all testing and verification in the corresponding sections of the ENERGY STAR MFHR Testing & Verification Workbook. Once released, NYSERDA will evaluate VeriPHY and consider allowing that process to replace this requirement for PHI projects. Refer to Section 6.3.2 for more details on verification, and Section 6 for more information on this pathway.

3.1.4 Modified Prescriptive Path (MoPP)

This compliance path requires the project to meet the set of requirements specified in the Modified Prescriptive Path Requirements (Attachment E) as set forth in Section 7, including completion of the ENERGY STAR MFHR Testing & Verification Protocols. Inclusion of these requirements is considered to equal or exceed the performance target specified in the project's approved performance tier. The MoPP allows some exceptions to its requirements for gut rehabilitation projects and historic buildings. This pathway does not result in an ENERGY STAR label, but may result in the New York Energy \$mart designation from NYSERDA. Refer to Section 7 for more information on this pathway.

3.2 Performance Tiers

At the time of application, projects must select and commit to meeting one of the following performance tiers. Each performance tier is associated with specific performance requirements. Higher tiers are associated with increasing

levels of performance and higher incentives. To be eligible to receive the associated incentives, the project must achieve the performance target associated with its approved performance tier.

3.2.1 Tier 1

Tier 1 is available to new construction projects following the Performance Path with ENERGY STAR or the MoPP.

For gut rehabilitation projects, Tier 1 is only available to projects following the Performance Path with ENERGY STAR.

Projects following the Performance Path with ENERGY STAR must achieve certification under the EPA's ENERGY STAR Multifamily High Rise (MFHR) program. To find out more about the EPA's program, rules and requirements, please visit the EPA website at

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_multifamily_highrise.

Projects that pursue either Passive House compliance path and were designed to achieve either Tier 2 or 3 but do not receive the associated certification from the applicable standards setting organization may qualify for Tier 1 if the project meets the associated Stage 1 and 2 requirements for that compliance path, and if their Stage 3 submittal is complete and approvable except for achieving certification from the applicable standard organization.

3.2.2 Tier 2

Tier 2 is available to new construction and gut rehabilitation projects following the Performance Path with ENERGY STAR, the PHI path or the PHIUS+ path.

Tier 2 is also available to gut rehabilitation projects following the MoPP.

Projects following the Performance Path with ENERGY STAR must, at minimum, achieve a performance rating of 25% above ASHRAE Standard 90.1, where the performance rating is calculated using source energy (see Section 4.3.4 for more information). The version of ASHRAE 90.1 that must be used is dependent on what version of NYS Energy Code the project is permitted under. If the project is permitted under the Energy Conservation Construction Code of New York State (ECCC of NYS) 2014, then the project's performance rating is in reference to ASHRAE 90.1-2010. If the project is permitted under ECCC of NYS 2016, then the project's performance rating must be in reference to ASHRAE 90.1-2013, as defined by ECCC NYS 2016. Additionally, the project must achieve certification under the EPA's ENERGY STAR Multifamily High Rise (MFHR) program. To find out more about the EPA's program, rules and requirements, please visit the EPA website at

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_multifamily_highrise.

Projects following either Passive House path need to comply with the minimum requirements of the applicable Passive House standard, achieving certification to either PHI or PHIUS+.

3.2.3 Tier 3

Tier 3 is available to new construction projects following the Performance Path with ENERGY STAR, the PHI path or the PHIUS+ path. Tier 3 is available to gut rehabilitation projects following the Performance Path with ENERGY STAR, with an adjusted baseline equivalent to that required of a new construction project.

Projects following the Performance Path with ENERGY STAR must, at a minimum, achieve a performance rating of 35% above ASHRAE Standard 90.1 without inclusion of any renewable or distributed generation and a performance rating of 42% above ASHRAE Standard 90.1 including any renewable or distributed generation, where the performance rating is calculated using source energy (refer to Section 4.3.4 for more information). The version of ASHRAE 90.1 that must be used is dependent on what version of NYS Energy Code the project is permitted under. If the project is permitted under ECCC NYS 2014, then the project's performance rating is in reference to ASHRAE 90.1-2010. If the project is permitted under ECCC NYS 2016, then the project's performance rating is in reference to ASHRAE 90.1-2013, as defined ECCC NYS 2016. Additionally, the project must achieve certification under the EPA's ENERGY STAR Multifamily High Rise (MFHR) program. To find out more about the EPA's program, rules and requirements, please visit their website at

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_multifamily_highrise

Projects following the PHI path must be designed, constructed, and certified to PHI standards and must achieve, at maximum, a Primary Energy Demand calculation of 33 kBtu/ft²/year without inclusion of any renewable or distributed generation, and a Primary Energy Demand calculation of 29 kBtu/ft²/year including any renewable or distributed generation. Calculation of this Primary Energy Demand threshold must rely on use of the PHI-required energy modeling tool; and the project must meet the minimum PHI requirements needed for the project to be certified as meeting the PHI standard. Both Primary Energy Demand thresholds may exclude the energy use attributed to amenities, such as dishwashers, laundry and exterior lighting, per Section 5.5.1.

Projects following the PHIUS path must be designed, constructed, and certified to PHIUS+ standards and must achieve, at maximum, a Primary Energy Demand calculation of 5,200 kWh/person/year without inclusion of any renewable or distributed generation, and a Primary Energy Demand calculation of 4,200 kWh/person/year including any renewable or distributed generation. Calculation of this Primary Energy Demand threshold must rely on use of the PHIUS-required energy modeling tool; and the project must meet the minimum PHIUS+ requirements needed for the project to be certified as meeting the PHIUS+ standard. Both Primary Energy Demand thresholds may exclude the energy use attributed to amenities, such as dishwashers, laundry and exterior lighting, per Section 6.5.1.

3.3 Deadlines

For projects following the Performance Path with ENERGY STAR, the Stage 1 submittal, as detailed in Sections 4 and 7, must be submitted no later than 30 days after the municipal Buildings Department's final approval of New Building Architectural, Mechanical, and Plumbing plans. For projects following the PHI or PHIUS paths, the Stage 1 submittal, as detailed in Section 5 and 6, must be submitted no later than 30 days after the project has received PHI or PHIUS pre-certification.

3.4 Incentive and Incentive Caps

The incentives available through MF NCP are based on market type, the year the complete application was submitted, number of dwelling units, and performance tier. Refer to Section 2.2 for more details.

4 Performance Path WITH ENERGY STAR

The following section describes the requirements of the Performance Path with ENERGY STAR. Please reference Appendix A of this document for the Performance Path Process Flow Chart.

4.1 Submittal Requirements

For the Applicant to receive the NYSERDA incentives approved for their project, the Partner must submit the required documentation as detailed in the Stages below. These submittals may be reviewed by NYSERDA or its designee. The three submittal Stages are described below. The incentives will only be paid if these submittals are approved by NYSERDA. All documents listed in this section must be submitted to the project's NYSERDA-designated liaison and approved by NYSERDA.

4.1.1 Stage 1: Energy Modeling Submittal

The first NYSERDA incentive is available to the Applicant when the project has reached design completion and NYSERDA has approved the Energy Modeling Submittal. This submittal must show that the project achieves the performance target and meets the requirements of the ENERGY STAR MFHR Performance Path. If the energy model indicates the intended performance target will not be met, the Partner must contact the NYSERDA-designated liaison prior to submittal.

The Energy Modeling Submittal must be submitted no later than 30 days after the Buildings Department's final approval of New Building Architectural, Mechanical, and Plumbing plans. The Buildings Department's approval shall be submitted to the project's NYSERDA-designated liaison upon receipt, but must be received by the submission of the Open Wall Submittal.

Documents Required for Stage 1:		Document Obtained From:
<input type="checkbox"/>	Applicant-Partner Contract (signed by both parties)	Partner created document
<input type="checkbox"/>	LMI Documentation (if not previously submitted)	See Table 2.1
<input type="checkbox"/>	Buildings Department's final New Building approval of Architectural, Mechanical, and Plumbing plans (if available at the time of submittal)	Permitting office that approved the Construction Documents
<input type="checkbox"/>	Proposed BPP	NYSERDA's website
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA
<input type="checkbox"/>	Statement of Energy Design Intent**	EPA
<input type="checkbox"/>	Energy Modeling files*	Partner created documents
<input type="checkbox"/>	Complete Construction Documents (CDs)	Applicant/Developer/Design Team

*For eQUEST models, please submit the .inp, .pd2, and .prd files

** Statement of Energy Design Intent will be submitted after the Stage 1 Submittal is approved

4.1.2 Stage 2: Open Wall Submittal

The second NYSERDA incentive is available to the Applicant when the project has reached the Open Wall milestone and NYSERDA has approved the Open Wall submittal and Site Inspection Report. The Partner must submit a complete Open Wall Submittal to the NYSERDA-designated liaison at least two weeks before the project reaches the Open Wall Milestone. This gives the NYSERDA-designated MF NCP Site Inspector time to properly schedule the Open Wall inspection. The purpose of this inspection is to verify that typical Open Wall components are installed in accordance with MF NCP requirements. This includes measures from the Proposed Building Performance Plan (BPP) and ENERGY STAR MFHR Performance Path Prerequisites.

Documents Required for Stage 2:		Document Obtained From:
<input type="checkbox"/>	Site Inspection Request Form (Attachment F)	NYSERDA's website

<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA
<input type="checkbox"/>	Buildings Department's final New Building approval of Architectural, Mechanical, and Plumbing plans (if not previously submitted)	Permitting office that approved the Construction Documents

4.1.3 Stage 3: As-Built Submittal

The third NYSERDA incentive is available to the Applicant when the project construction is complete, and NYSERDA has approved the As-Built Submittal and Data Release Authorization Forms (DRAFTs). This submittal must show that the project meets or exceeds the performance target specified in its approved performance tier and meets the requirements of the ENERGY STAR MFHR Performance Path Prerequisites. If the project does not meet the performance target, the Partner must contact the NYSERDA-designated liaison prior to submittal.

The Partner must work with the Applicant to determine whether to submit Tenant DRAFTs (Attachment H) or to follow the alternative process to allow the NYSERDA-designated liaison to access the utility consumption information directly.

- DRAFTs: All projects are eligible to follow the DRAFT process. The Partner must submit the Owner DRAFT (Attachment G), which must include utility information for all common areas of the building, and Tenant DRAFTs (Attachment H), which must include utility information for a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five apartments. Of the 10 percent sample, at least one of each apartment type (e.g. studio, 1 bedroom, large 1 bedroom) must be represented. Additionally, a list of all apartment numbers and their corresponding apartment type (e.g. studio, large 1 bedroom) must be provided.
- As an alternative to submitting the Tenant DRAFTs (Attachment H) and associated list of apartments, the Applicant must complete and sign the utility's Letter of Authorization and send it and a copy of the building's utility bill to the Partner. The Partner must then complete the application tab of the utility's Aggregated Consumption Data Request form (if applicable), compile all documents, including the Owner DRAFT (Attachment G), and submit to the NYSERDA-designated liaison. All data is kept strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments. To be eligible to follow this approach, the project's electric and/or gas utility must provide aggregated data.

Documents Required for Stage 3:

Document Obtained From:

<input type="checkbox"/>	As-Built BPP	NYSERDA's website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA
<input type="checkbox"/>	Modeling files*	Partner created documents

*For eQUEST models, please submit the .inp, .pd2, and .prd files

DRAFT Documents:

<input type="checkbox"/>	Owner DRAFT (Attachment G) (for all common area utility accounts) (executed)	NYSERDA's website
<input type="checkbox"/>	Tenant DRAFTs (Attachment H) (executed)	NYSERDA's website
<input type="checkbox"/>	List of each apartment number and type (e.g., studio, 1 bedroom)	Partner created document

Alternative utility account document submittal requirements, if Tenant DRAFT Documents and list of sample apartments are not submitted:

<input type="checkbox"/>	Owner DRAF (Attachment G) (for all common area utility accounts) (executed)	NYSERDA's website
<input type="checkbox"/>	Utility's Letter of Authorization*	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/>	Utility's Aggregated Consumption Data Request	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp National Grid: http://www.nyc.gov/html/gbee/downloads/pdf/2017_national_grid_nyc_benchmarking_data_request_form.pdf
<input type="checkbox"/>	Copy of utility bill for project address and account numbers	Applicant/Developer
<input type="checkbox"/>	Partner must provide "lease-up" date (date when the building will be occupied)	Partner/Applicant

* The signatory of this Authorization Form must be the utility account holder

4.2 Software Requirements

The modeling software used to determine the project's energy savings must satisfy the requirements detailed in ASHRAE 90.1-2010 Appendix G simulation and documentation requirements, as modified in the ENERGY STAR MFHR Simulation Guidelines. The Simulation Guidelines contains a list of examples of simulation programs that meet the requirements. The Simulation Guidelines can be obtained from the following ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

4.3 Associated Documents

4.3.1 Building Performance Plan

The Building Performance Plan (BPP) is the comprehensive reporting tool generated, populated and submitted by the Applicant and Partner to NYSERDA. It documents general information about the project, details regarding the project's scope of work and achievement of the performance target. In addition, the BPP collects project-level cost information for Tier 3 projects. The BPP is a Microsoft Excel spreadsheet that assists the Partner in analyzing model inputs. It incorporates the ENERGY STAR MFHR Simulation Guidelines Appendix, as well as tabs that report information to NYSERDA and the EPA. Instruction tabs within that document provide further information.

4.3.2 Testing and Verification Protocols and Worksheets

Projects following the Performance Path are required to comply with the ENERGY STAR MFHR Testing & Verification Protocols. The ENERGY STAR MFHR Testing & Verification Protocols are mandatory requirements for the inspection, testing, and verification of components related to the project's energy performance. All inspections, diagnostic tests, and photo documentation described within the Protocols are required for each of the participating project's components and systems. Results of testing and verification must be documented in the ENERGY STAR MFHR Testing & Verification Worksheets and ENERGY STAR MFHR Photo Template. The ENERGY STAR MFHR Testing & Verification Protocols, Worksheets, and Photo Template can be obtained from the following ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

4.3.3 ENERGY STAR MFHR Performance Path Prerequisites

Projects following the Performance Path are required to comply with the ENERGY STAR MFHR Performance Path Prerequisites. Though the MF NCP Performance Path is performance-based and does allow trade-offs between various building components, the ENERGY STAR MFHR Performance Path Prerequisites provide a lower limit to the trade-offs for many building components. The ENERGY STAR MFHR Performance Path Prerequisites can be obtained from the following ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

4.3.4 Simulation Guidelines

The ENERGY STAR MFHR Simulation Guidelines is a companion document to ASHRAE 90.1 Appendix G. It contains the methodology to assist Partners in developing the Baseline Building Design, Proposed Building

Design, and As-Built models for each project. These Simulation Guidelines are published by the EPA at their ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

4.3.4.1 Compliance with ENERGY STAR MFHR Program

All projects following the Performance Path shall demonstrate the EPA's ENERGY STAR Multifamily High Rise (MFHR) program requirements have been met by following the EPA's ENERGY STAR MFHR Simulation Guidelines.

4.3.4.2 Compliance with MF NCP Tier 2 and Tier 3 Performance Thresholds

To demonstrate compliance with the MF NCP performance thresholds for Tier 2 and 3 Performance path projects, which are above and beyond the minimum ENERGY STAR requirements, the following guidance must be followed.

Calculating Performance Rating, based on Source Energy

The Proposed Building Performance and Baseline Building Performance must each be calculated as the sum of predicted **source energy use** by end use, not energy cost, as required to demonstrate compliance with the EPA's program. The site energy consumption for each end use shall be taken from the report generated by the simulation program as described in Section G1.4 of Appendix G.

To determine the project's Performance Rating, follow the steps in the EPA's ENERGY STAR Simulation Guidelines Section 3.2, except in lieu of converting the site energy consumption to energy cost, convert the site energy consumption to source energy consumption, using the appropriate source-to-site energy conversions for each fuel type using the following source-to-site conversion factors shown below.

Energy Type	Source-to-Site Ratio
Electricity (grid purchase)	2.55
Natural gas	1.05
Fuel oil	1.01
Propane	1.01

Air sealing

Projects *may* pursue performance credit for air sealing. To receive this credit, the actual air leakage rate measured during the inspection phase of the project as part of the ENERGY STAR MFHR Testing and Verification Protocols conducted on the building, must be below 0.4 cfm/ft² at 75 Pa. To model the energy savings, the air leakage rate used to calculate the infiltration rates for the *Baseline Building Design* shall be 0.4 cfm/ft² at 75 Pa. In the Modeling submittal, the air leakage rate used to calculate the infiltration rates must be no less than 0.35 CFM/ft² at 75 Pa for the *Proposed Design*. In the As-Built model, the actual measured air leakage rate shall be used to calculate the infiltration rates for the *Proposed Design*. The air leakage rate of the building envelope shall be converted to appropriate units for the simulation program using one of the methods in ASHRAE 90.1-2013 Section G3.1.1.4.

Note: Currently, the ENERGY STAR MFHR Program does not allow this measure for projects following ASHRAE 90.1-2010. As such, projects following ASHRAE 90.1-2010 must be able to meet the MFHR performance rating target of 15% without this credit.

4.4 Quality Control (QC) Processes

NYSERDA and its designees may perform two different types of QC on each MF NCP project: technical reviews and site inspections. This section explains how these apply to projects following the Performance Path.

4.4.1 Technical Reviews

The technical review process occurs at the Modeling and As-Built stages of each Performance Path project. The intent is to provide a thorough technical review of the submittal documents and verify that the project is meeting the performance target, in addition to meeting all requirements of the ENERGY STAR MFHR Performance Path

Prerequisites. Failure to meet the performance target and all requirements of the ENERGY STAR MFHR Performance Path Prerequisites will result in termination of the project.

If the submittal for any stage is not accepted, NYSERDA or the Technical Reviewer may provide comments in a review document identifying the issues of each submittal revision. The Partner should review all comments, and find and correct the errors causing each identified issue or explain why an identified issue is justified. When all issues are resolved, the Partner should respond to the Technical Reviewer's comments in the review document and include it in the next revision of the submittal.

It is the Partner's responsibility to identify any modeling issues causing the identified issues and to resolve them. MF NCP staff are available to provide any needed technical assistance if the Partner is having difficulties. However, Partners are encouraged to first use the following resources during their technical review process:

- *Partner Guidance for Technical Review Process*: This document is available to all Partners on NYSERDA's website to assist the Partner throughout the entire technical review submittal process. It includes information about internal QC procedures, common modeling issues, strategies for resolving issues, and how to verify measure savings are reasonable.
- *End Use Comparison Tool*: This tool allows Partners to compare the energy consumption of the project they are currently working on to the average energy consumption of past NYSERDA funded multifamily projects. The tool will flag any end use that falls outside of the typical range. It is updated regularly and emailed to Partners.

All Partners are expected to QC their work and to submit a high-quality model along with fully completed tools and documents. Partner status may be affected if a good-faith effort is not made. If at any time during the technical review process, NYSERDA or its designee deems the submittal as incomplete or missing information, the submittal will be rejected and sent back to the Partner to resubmit.

At the Energy Modeling Stage, NYSERDA's designated MF NCP Technical Reviewer may review the energy model, Building Performance Plan, and ENERGY STAR MFHR Testing & Verification Worksheets to verify that all requirements listed in the ENERGY STAR MFHR Performance Path Prerequisites have been met in addition to meeting the performance target. Additionally, the Technical Reviewer may verify that simulation outputs are reasonable, evaluate the general quality of the model, review submittal documents to ensure that ASHRAE 90.1 Appendix G and the ENERGY STAR MFHR Simulation Guidelines were followed, and evaluate whether the projected savings are consistent with the features of the design.

At the As-Built stage, the Technical Reviewer may also review the model, Building Performance Plan, and ENERGY STAR MFHR Testing & Verification Worksheets as during the Modeling stage. Additionally, the Technical Reviewer will review the ENERGY STAR MFHR Photo Template to ensure that all submittals reflect the installed conditions.

4.4.2 Site Inspections

Open Wall site inspections may be performed by a NYSERDA-designated MF NCP Site Inspector on all Performance Path projects.

Partner and Applicant representatives are required to attend the site inspections. These representatives must have detailed knowledge of the project and must be prepared to answer any project-related questions that arise.

The Partner must submit the Open Wall Submittal to the NYSERDA-designated liaison at least two weeks prior to the Open Wall Milestone. The Partner must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the inspection.

The Open Wall Milestones are based on the type of installed above-grade wall insulation:

- Exterior insulation: Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Insulated concrete form (ICF): Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Exterior Insulation and Finishing Systems (EIFS): Inspection should occur when 30% of the EIFS has been installed.
- Interior insulation only: Inspection should occur when 30% of insulation is installed and visible.
- Exterior insulation with interior insulation: Inspection should occur when 30% of interior insulation is installed and visible.
- Pre-fabricated exterior wall assemblies and modular construction: Inspection should occur when 30% of the pre-fabricated assemblies have been installed on-site. The Partner may need to visit the pre-fabrication facility to complete required testing and verification. The Partner must provide photo documentation of components that will not be visible during the Open Wall inspection.

The Partner must contact the NYSERDA-designated liaison early in construction to determine the Open Wall Milestone for projects with above-grade wall insulation types or combinations not listed here.

If the Partner fails to submit the Open Wall Submittal at least two weeks prior to the Open Wall Milestone or the Partner/Applicant is unresponsive to attempts to schedule the Open Wall inspection, the project will be required to expose sections of walls for inspection and all remaining incentive payments will be in jeopardy.

The Site Inspector may ask to see the construction drawings while on site to verify the planned installation of any components that the Site Inspector cannot inspect because either it has been covered or installation has not commenced.

For any completed component no longer visible during the inspection (below-grade exterior insulation, roof insulation, pre-fabricated assembly items, etc.), the Partner must submit photographs using the ENERGY STAR MFHR Photo Template before the Inspection Report can be approved.

The Site Inspector may inspect all installed measures from the Detailed Measures tab of the BPP table, as well as all installed ENERGY STAR MFHR Performance Path Prerequisites. The Site Inspector may develop a report detailing the Open Wall Inspection findings, which the NYSERDA-designated liaison will return to the Partner. The report may contain Additional Requirements or Action Items for measures and prerequisites. Additional Requirements can be resolved at the As-Built submittal. Action Items must be resolved before the Open Wall Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

If severe violations of the ENERGY STAR MFHR Performance Path Prerequisites are discovered during this inspection, NYSERDA and its Site Inspector reserve the right to request that the Partner instruct the construction team to remove sections of sealed walls to fully inspect insulation and air sealing components. Additionally, NYSERDA and the Site Inspector reserve the right to require a second Open Wall inspection to take place once all the required corrections are complete.

Failure to meet the requirements of this Open Wall Inspection may result in termination of the project.

4.5 Additional Requirements

4.5.1 ENERGY STAR Benchmarking

Building performance is as much a function of proper building management as the design and construction. Therefore, after earning the ENERGY STAR for the project, the developer or building owner must commit to benchmarking their building in Portfolio Manager for a period of two years to maintain their listing on the ENERGY STAR website.

Portfolio Manager is an online, interactive energy management tool that allows Applicants to measure and track their building's energy and water consumption, identify investment priorities, and verify improvements over time. Multifamily housing communities can use Portfolio Manager to track weather-normalized energy use intensity (EUI), energy costs, greenhouse gas emissions, and water consumption. For more information on how to use Portfolio Manager, see the Portfolio Manager – Multifamily Housing Quick Reference Guide document at the following ENERGY STAR website:

https://www.energystar.gov/ia/business/multifam_housing/QRG_Multifamily_Housing.pdf

To accomplish this goal, the developer, building owner, or an entity working on their behalf must have the capability to evaluate utility consumption of the residential-associated spaces independent of any commercial/retail space. These non-residential associated parts of the building shall be separately metered (or sub-metered) for electricity, gas, fuel oil, water, steam, and hot water for domestic and/or space heating purposes. The developer or building owner should also work with tenants to secure consumption information. If the building is direct-metered for utilities to the apartments, the building owner must secure signed releases from individual apartment occupants to allow for benchmarking. In addition, the building owner must provide a signed release for the common area/whole-building utility meters. All data uploaded to Portfolio Manager is strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments.

NOTE: Receipt of NYSERDA incentives and the ENERGY STAR will not be delayed due to this EPA requirement.

4.5.2 Gut Rehabilitation Projects

Gut rehabilitation projects following the Performance Path must meet the same requirements as newly constructed buildings. There are no allowances or exceptions for gut rehabilitation projects under the Performance Path.

For projects that are permitted under ECCC NYS 2014, the Performance Path relies on the modeling requirements of ASHRAE 90.1-2010 Appendix G, as supplemented by the ENERGY STAR MFHR Simulation Guidelines. ASHRAE 90.1-2010 Appendix G Table G3.1 does allow the following adjustment: for existing building envelopes, the baseline building design shall reflect existing conditions prior to any revisions that are part of the scope of work being evaluated. This is allowed for Tier 1 and 2 projects permitted under ECCC NYS 2014, but not allowed for any Tier 3 projects.

For projects that are permitted under ECCC NYS 2016, the Performance Path relies on the modeling requirements of ASHRAE 90.1-2013 Appendix, as defined by ECCC NYS 2016. ASHRAE 90.1-2013 Appendix G Table G3.1 does not include this allowance.

5 Passive House Institute US (PHIUS)

The following section describes the requirements of the Passive House Institute US (PHIUS) path. Please reference Appendix A of this document for the PHIUS path Process Flow Chart.

5.1 Submittal Requirements

For the Applicant to receive the NYSERDA incentives approved for their project, the Partner must submit the required documentation as detailed in the Stages below. These submittals may be reviewed by NYSERDA or its designee. The three submittal Stages are described below. The incentives will only be paid if these submittals are approved by NYSERDA. All documents listed in this section must be submitted to the project's assigned NYSERDA-designated liaison and approved by NYSERDA.

5.1.1 Stage 1: Energy Modeling Submittal

The first NYSERDA incentive is available to the Applicant when the project has reached design completion and NYSERDA has approved the Energy Modeling Submittal. This submittal must show that the project achieves the performance thresholds and meets the requirements of the PHIUS+ Multifamily Certification Standard. If the energy model does not project the required performance thresholds, the Partner must contact the NYSERDA-designated liaison prior to submittal. The Applicant must show that a Certified Passive House Consultant (CPHC) and a PHIUS+ Verifier have been hired to work on this project to be eligible for this incentive. Additionally, the project must be pre-certified by PHIUS prior to submittal to NYSERDA.

The Energy Modeling Submittal must be submitted no later than 30 days after the project has received PHIUS pre-certification. The proof of pre-certification shall be submitted to the project's NYSERDA-designated liaison upon receipt.

	Documents Required for Stage 1:	Document Obtained From:
<input type="checkbox"/>	Applicant-Partner Contract (signed by both parties)	Partner created document
<input type="checkbox"/>	LMI Documentation (if not previously submitted)	See Table 2.1
<input type="checkbox"/>	Proposed BPP	NYSERDA's website
<input type="checkbox"/>	WUFI modeling files	PHIUS
<input type="checkbox"/>	Proof of Pre-certification	PHIUS
<input type="checkbox"/>	Complete Construction Documents (CDs)	Applicant/Developer/Design Team

5.1.2 Stage 2: Open Wall Submittal

The second NYSERDA incentive is available to the Applicant when NYSERDA has approved the Open Wall Submittal and Site Inspection Report. The Partner must submit a complete Open Wall Submittal to the NYSERDA-designated liaison at least two weeks before the project reaches the Open Wall Milestone. This gives NYSERDA's designated MF NCP Site Inspector time to properly schedule the Open Wall inspection. The purpose of this inspection is to verify that typical Open Wall components are installed in accordance with MF NCP requirements. This includes measures from the proposed Building Performance Plan (BPP).

	Documents Required for Stage 2:	Document Obtained From:
<input type="checkbox"/>	Site Inspection Request Form (Attachment F)	NYSERDA's website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	PHIUS+ Quality Control Workbook for Multifamily Projects	PHIUS

5.1.3 Stage 3: As-Built Submittal

The third NYSERDA incentive is available to the Applicant when the project construction is complete and NYSERDA has approved the As-Built Submittal and Data Release Authorization Forms (DRAFTs). This submittal must show that the project meets or exceeds the performance thresholds specified in its approved performance

tier and meets the requirements of the PHIUS+ Multifamily Certification Standard. The submitted WUFI model file must have been reviewed and approved by PHIUS prior to submittal to NYSERDA. If the project does not meet the performance thresholds, the Partner must contact the NYSERDA-designated liaison prior to submittal.

The Partner must work with the Applicant to determine whether to submit Tenant DRAFs (Attachment H) or to follow the alternative process to allow the NYSERDA-designated liaison to access the utility consumption information directly.

- DRAFs: All projects are eligible to follow the DRAF process. The Partner must submit the Owner DRAF (Attachment G), which must include utility information for all common areas of the building, and Tenant DRAFs (Attachment H), which must include utility information for a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five apartments. Of the 10 percent sample, at least one of each apartment type (e.g., studio, 1 bedroom, large 1 bedroom) must be represented. Additionally, a list of all apartment numbers and their corresponding apartment type (e.g. studio, large 1 bedroom) must be provided.
- As an alternative to submitting the Tenant DRAFs (Attachment H) and associated list of apartments, the Applicant must complete and sign the utility’s Letter of Authorization and send it and a copy of the building’s utility bill to the Partner. The Partner must then complete the application tab of the utility’s Aggregated Consumption Data Request form, compile all documents, including the Owner DRAF (Attachment G), and submit to the NYSERDA-designated liaison. To be eligible to follow this approach, the project’s electric and/or gas utility must provide aggregated data. All data is kept confidential as per NYSERDA’s guidelines and regulations, and only used to estimate the energy performance of the whole building, not of individual apartments.

Documents Required for Stage 3:

Document Obtained From:

<input type="checkbox"/>	As-Built BPP	NYSERDA’s website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	PHIUS+ Quality Control Workbook for Multifamily Projects	PHIUS
<input type="checkbox"/>	WUFI modeling files	PHIUS
<input type="checkbox"/>	PHIUS+ Certificate	PHIUS

DRAF Documents :

<input type="checkbox"/>	Owner DRAF (Attachment G) (for all common area utility accounts) (executed)	NYSERDA’s website
<input type="checkbox"/>	Tenant DRAFs (Attachment H) (executed)	NYSERDA’s website
<input type="checkbox"/>	List of each apartment number and type (e.g., studio, 1 bedroom)	Partner created document

Alternative utility account document submittal requirements, if Tenant DRAF Documents and list of sample apartments are not submitted:

<input type="checkbox"/>	Owner DRAF (Attachment G) (for all common area utility accounts) (executed)	NYSERDA’s website
<input type="checkbox"/>	Utility’s Letter of Authorization*	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/>	Utility’s Aggregated Consumption Data Request	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp National Grid: http://www.nyc.gov/html/gbee/downloads/pdf/2017_national_grid_nyc_benchmarking_data_reques

		t_form.pdf
<input type="checkbox"/>	Copy of utility bill for project address and account numbers	Applicant/Developer
<input type="checkbox"/>	Partner must provide "lease-up" date (date when the building will be occupied)	Partner/Applicant

* The signatory of this Authorization Form must be the utility account holder

5.2 Software Requirements

All MF NCP projects pursuing the PHIUS path must model the project using WUFI Version 3.0.3.0, 3.1.0, or 3.1.1 and following PHIUS+ Multifamily Certification Standard Book V1.01. The use of other versions of WUFI software or certification standard is subject to MF NCP review, must receive pre-approval by NYSERDA, and may result in a change to the performance threshold.

5.3 Associated Documents

5.3.1 Building Performance Plan

The Building Performance Plan (BPP) is the comprehensive reporting tool generated, populated and submitted by the Applicant and Partner to NYSERDA. It documents general information about the project, details regarding the project's scope of work and achievement of the performance target. In addition, the BPP collects project-level cost information for Tier 3 projects, and verification that a Certified Passive House Consultant (CPHC) and a PHIUS+ Verifier have been hired by the Applicant. The BPP is a Microsoft Excel spreadsheet that assists the Partner in analyzing model inputs and documents data necessary for NYSERDA reporting.

5.3.2 Testing & Verification documents

In addition to following all requirements of the PHIUS Passive House certification, projects following the PHIUS path are also required to document the results of testing and verification in the ENERGY STAR MFHR Photo Template. The Photo Template can be obtained from the following ENERGY STAR website:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

5.4 Quality Control (QC) Processes

NYSERDA and its designees may perform two different types of QC on each MF NCP project: technical reviews and site inspections. This section explains how these apply to projects following the PHIUS path.

5.4.1 Technical Review

The technical review process occurs at the Modeling and As-Built stages of each project pursuing PHIUS+ certification. The intent is to provide a thorough technical review of the submittal documents and verify that the project is meeting all MF NCP requirements. Failure to meet the performance thresholds and all MF NCP requirements may result in termination of the project.

If the submittal for any stage, is not accepted, NYSERDA or the Technical Reviewer may provide comments in a review document identifying the issues of each submittal revision. The Partner should review all comments, and find and correct the errors causing each identified issue or explain why an identified issue is justified. When all issues are resolved, the Partner should respond to the Technical Reviewer's comments in the review document and include it in the next revision of the submittal.

All Partners are expected to QC their work and to submit a high-quality model along with fully completed tools and documents. Partner status may be affected if a good-faith effort is not made. If at any time during the technical review process NYSERDA or its designee deems the submittal as incomplete or missing significant information, the submittal will be rejected and sent back to the Partner to resubmit.

At the Energy Modeling Stage, NYSERDA-designated MF NCP Technical Reviewer may review the model, the Building Performance Plan, and PHIUS+ Quality Control Workbook for Multifamily Projects to verify that all MF NCP requirements have been met, in addition to meeting the performance thresholds. Additionally, the Technical

Reviewer may verify that simulation outputs are reasonable, evaluate the general quality of the model, and evaluate whether the projected energy use is consistent with the features of the design.

At the As-Built stage, the Technical Reviewer may also review the model, the Building Performance Plan, and PHIUS+ Quality Control Workbook for Multifamily Projects as during the Modeling stage. Additionally, the Technical Reviewer may review the ENERGY STAR MFHR Photo Template to ensure that all submittals reflect the installed conditions.

5.4.2 Site Inspections

Open Wall inspections may be performed by a NYSERDA-designated MF NCP Site Inspector on all projects pursuing PHIUS+ certification.

Partner and Applicant representatives are required to attend these site inspections. These representatives must have detailed knowledge of the project and must be prepared to answer any project-related questions that arise.

The Partner must submit the Open Wall Submittal to the NYSERDA-designated liaison at least two weeks prior to the Open Wall Milestone. The Partner must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the inspection.

The Open Wall Milestones are based on the type of installed above-grade wall insulation:

- Exterior insulation: Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Insulated concrete form (ICF): Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Exterior Insulation and Finishing Systems (EIFS): Inspection should occur when 30% of the EIFS has been installed.
- Interior insulation only: Inspection should occur when 30% of insulation is installed and visible.
- Exterior insulation with interior insulation: Inspection should occur when 30% of interior insulation is installed and visible.
- Pre-fabricated exterior wall assemblies and modular construction: Inspection should occur when 30% of the pre-fabricated assemblies have been installed on-site. The Partner may need to visit the pre-fabrication facility to complete required testing and verification. The Partner must provide photo documentation of components that will not be visible during the Open Wall inspection.

The Partner must contact the NYSERDA-designated liaison early in construction to determine the Open Wall Milestone for projects with above-grade wall insulation types or combinations not listed here.

If the Partner fails to submit the Open Wall Submittal at least two weeks prior to the Open Wall Milestone or the Partner/Applicant is unresponsive to attempts to schedule the Open Wall inspection, the project will be required to expose sections of walls for inspection and all remaining incentive payments will be in jeopardy.

The Site Inspector may ask to see the construction drawings while on site to verify any component listed on the Open Wall Checklist that the Site Inspector cannot inspect because either it has been covered or installation has not commenced.

For any completed component no longer visible during the inspection (below-grade exterior insulation, roof insulation, pre-fabricated assembly items, etc.), the Partner must submit photographs using the ENERGY STAR MFHR Photo Template before the Inspection Report can be approved.

The Site Inspector may inspect all installed measures from the BPP. The Site Inspector may develop a report detailing the Open Wall Inspection findings, which the NYSERDA-designated liaison will return to the Partner. The report may contain Additional Requirements or Action Items for measures and prerequisites or requirements.

Additional Requirements can be resolved at the As-Built submittal. Action Items must be resolved before the Open Wall Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

If severe violations of the BPP are discovered during this inspection, NYSERDA and the Site Inspector reserve the right to request that the Partner instruct the construction team to remove sections of sealed walls to fully inspect insulation and air sealing components. Additionally, NYSERDA and its representatives reserve the right to require a second Open Wall inspection to take place once all the required corrections are complete.

Failure to meet the requirements of this Open Wall Inspection may result in termination of the project

5.5 Additional Requirements

5.5.1 Modeling Guidelines

All MF NCP projects following the PHIUS path shall follow the PHIUS+ Multifamily Certification Standard Book V1.01, with the following additional requirements:

- Any deviations from program defaults for operating assumptions, such as source-to-site conversion, plug loads and hours of operation, are subject to review and must be specifically noted in the BPP.
- If a project includes an HVAC configuration or system type that cannot be explicitly modeled in the WUFI software, the Partner or CPHC must work directly with PHIUS staff to ensure that the energy use of that system is accurately captured in the model.
- Any calculations performed outside of the approved version of WUFI, including but not limited to HVAC systems that are not directly supported, capturing power of continuously running fans integral to heating/cooling units, methodology for aggregating heating systems of different types or efficiency for input into WUFI, etc. must be included in the NYSERDA submittal and are subject to NYSERDA approval.

At the Applicants and Partners option, the model used to show compliance with the MF NCP Tier 3 performance thresholds, which are above and beyond minimum PHIUS certification requirements, may choose to alter their model as follows. Note the project is still required to meet all PHIUS certification requirements without this allowance.

- When calculating the Primary Energy Demand metric to determine a project's compliance with the performance thresholds specified in its approved performance tier, the project may choose to exclude the energy use associated with optional amenities, including dishwashers, laundry facilities, and exterior lighting. If excluded, however, that component must, at minimum, meet the modified prescriptive path requirement for that component as defined in the Modified Prescriptive Path Requirements (Attachment E) (e.g., dishwashers and clothes washers must be ENERGY STAR® certified). Additional optional amenities, such as vending machines, on-site gym equipment, etc. may be excluded with prior NYSERDA approval.

5.5.2 ENERGY STAR Benchmarking

NYSERDA requires benchmarking for all PHIUS path projects. Building performance is as much a function of proper building management as the energy conservation measures incorporated into the structure. Therefore, after completing the MF NCP project, the developer or building owner must commit to benchmarking their building in Portfolio Manager.

Portfolio Manager is an online, interactive energy management tool that allows Applicants to measure and track their building's energy and water consumption, identify investment priorities, and verify improvements over time. Multifamily housing communities can use Portfolio Manager to track weather-normalized energy use intensity (EUI), energy costs, greenhouse gas emissions, and water consumption. For more information on how to use Portfolio Manager, see the Portfolio Manager – Multifamily Housing Quick Start Guide document at the following ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_benchmarking

To accomplish this goal, the developer, building owner, or an entity working on their behalf must have the capability to evaluate the utility consumption of the residential-associated spaces independent of any commercial/retail space. These non-residential associated parts of the building shall be separately metered (or

sub-metered) for electricity, gas, fuel oil, water, steam, and hot water for domestic and/or space heating purposes. The developer or building owner should also work with tenants to secure consumption information. If the building is direct-metered for utilities to the apartments, the building owner must secure signed releases from individual apartment occupants to allow for benchmarking. In addition, the building owner must provide a signed release for the common area/whole-building utility meters. All data uploaded to Portfolio Manager is strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments.

6 Passive House Institute (PHI)

The following section describes the requirements of the Passive House Institute (PHI) path. Please reference Appendix A of this document for the PHI Path Process Flow Chart.

6.1 Submittal Requirements

For the Applicant to receive the NYSERDA incentives approved for their project, the Partner must submit the required documentation as detailed in the Stages below. These submittals may be reviewed by NYSERDA or its designee. The three submittal Stages are described below. The incentives will only be paid if these submittals are approved by NYSERDA. All documents listed in this section must be submitted to the project's assigned NYSERDA-designated liaison and approved by NYSERDA.

6.1.1 Stage 1: Energy Modeling Submittal

The first NYSERDA incentive is available to the Applicant when the project has reached design completion and NYSERDA has approved the Energy Modeling Submittal. This submittal must show that the project achieves the primary energy demand thresholds and meets the requirements of PHI Passive House standard. If the energy model does not project the performance threshold, the Partner must contact the NYSERDA-designated liaison prior to submittal. The Applicant must show that a PHI Consultant or Designer and PHI Certifier have been hired to work on this project to be eligible for this incentive. Additionally, the submitted PHPP modeling file must have been reviewed and found to be compliant with the PHI standard by both the PHI Consultant or Designer and Certifier prior to submittal to NYSERDA.

The Energy Modeling Submittal must be submitted no later than 30 days after the project has received PHI pre-certification. The proof of pre-certification shall be submitted to the project's NYSERDA-designated liaison upon receipt.

	Documents Required for Stage 1:	Document Obtained From:
<input type="checkbox"/>	Applicant-Partner Contract (signed by both parties)	Partner created document
<input type="checkbox"/>	LMI Documentation (if not previously submitted)	See Table 2.1
<input type="checkbox"/>	Proof of Pre-certification	PHI
<input type="checkbox"/>	Proposed BPP	NYSERDA's website
<input type="checkbox"/>	PHPP v9.5 modeling files	PHI
<input type="checkbox"/>	Complete Construction Documents (CDs)	Applicant/Developer/Design Team

6.1.2 Stage 2: Open Wall Submittal

The second NYSERDA incentive is available to the Applicant when NYSERDA has approved the Open Wall Submittal and Site Inspection Report. The Partner must submit a complete Open Wall Submittal to the NYSERDA-designated liaison at least two weeks before the project reaches the Open Wall Milestone. This gives the NYSERDA-designated MF NCP Site Inspector time to properly schedule the Open Wall inspection. The purpose of this inspection is to verify that typical Open Wall components are installed in accordance with MF NCP requirements. This includes measures from the proposed Building Performance Plan (BPP).

	Documents Required for Stage 2:	Document Obtained From:
<input type="checkbox"/>	Site Inspection Request Form (Attachment F)	NYSERDA's website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA

6.1.3 Stage 3: As-Built Submittal

The third NYSERDA incentive is available to the Applicant when the project construction is complete and NYSERDA has approved the As-Built Submittal, and Data Release Authorization Forms (DRAFTs). This submittal

must show that the project meets or exceeds the performance thresholds specified in its approved performance tier and meets the requirements of the PHI Passive House standard. The submitted PHPP model file must have been reviewed and approved by both the PHI Consultant/Designer and Certifier prior to submittal to NYSERDA. If the project does not meet the performance thresholds, the Partner must contact the NYSERDA-designated liaison prior to submittal.

The Partner must work with the Applicant to determine whether to submit Tenant DRAFs (Attachment H) or to follow the alternative process to allow the NYSERDA-designated liaison to access the utility consumption information directly.

- DRAFs: All projects are eligible to follow the DRAF process. The Partner must submit the Owner DRAF (Attachment G), which must include utility information for all common areas of the building, and Tenant DRAFs (Attachment H), which must include utility information for a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five apartments. Of the 10 percent sample, at least one of each apartment type (e.g., studio, 1 bedroom, large 1 bedroom) must be represented. Additionally, a list of all apartment numbers and their corresponding apartment type (e.g. studio, large 1 bedroom) must be provided.
- As an alternative to submitting the Tenant DRAFs (Attachment H) and associated list of apartments, the Applicant must complete and sign the utility’s Letter of Authorization and send it and a copy of the building’s utility bill to the Partner. The Partner must then complete the application tab of the utility’s Aggregated Consumption Data Request form (if applicable), compile all documents, including the Owner DRAF (Attachment G), and submit to the NYSERDA-designated liaison. All data is kept confidential as per NYSERDA’s guidelines and regulations, and only used to estimate the energy performance of the whole building, not of individual apartments. To be eligible to follow this approach, the project’s electric and/or gas utility must provide aggregated data.

Documents Required for Stage 3:		Document Obtained From:
<input type="checkbox"/>	As-Built BPP	NYSERDA’s website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA
<input type="checkbox"/>	PHPP v9.5 modeling files	PHI
<input type="checkbox"/>	PHI Certificate	PHI

DRAF Documents:

<input type="checkbox"/>	Owner DRAF (Attachment G) (for all common area utility accounts) (executed)	NYSERDA’s website
<input type="checkbox"/>	Tenant DRAFs (Attachment H) (executed)	NYSERDA’s website
<input type="checkbox"/>	List of each apartment number and type (e.g., studio, 1 bedroom)	Partner created document

Alternative utility account document submittal requirements, if Tenant DRAF Documents and list of sample apartments are not submitted:

<input type="checkbox"/>	Owner DRAF (Attachment G) (for all common area utility accounts) (executed)	NYSERDA’s website
<input type="checkbox"/>	Utility’s Letter of Authorization*	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/>	Utility’s Aggregated Consumption Data Request	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp

		National Grid: http://www.nyc.gov/html/gbee/downloads/pdf/2017_national_grid_nyc_benchmarking_data_request_form.pdf
<input type="checkbox"/>	Copy of utility bill for project address and account numbers	Applicant/Developer
<input type="checkbox"/>	Partner must provide "lease-up" date (the date when the building will be occupied)	Partner/Applicant

* The signatory of this Authorization Form must be the utility account holder

6.2 Software Requirements

All MF NCP projects pursuing the PHI path must model the project using PHPP Version 9.5 and following PHI Passive House Standard v9.5 – PH Classic. The use of other versions of PHPP software or certification standard is subject to MF NCP review, must receive pre-approval by NYSERDA, and may result in a change to the performance thresholds.

6.3 Associated Documents

6.3.1 Building Performance Plan

The Building Performance Plan (BPP) is the comprehensive reporting tool generated, populated and submitted by the Applicant and Partner to NYSERDA. It documents general information about the project, details regarding the project's scope of work and achievement of the performance target. In addition, the BPP collects project-level cost information for Tier 3 projects, and verification that a PHI Consultant or Designer and a PHI Certifier have been hired by the Applicant. The BPP is a Microsoft Excel spreadsheet that assists the Partner in analyzing model inputs and documents data necessary for NYSERDA reporting.

6.3.2 Testing and Verification Worksheets

MF NCP projects following the PHI compliance path are required to report all performance testing results in the ENERGY STAR MFHR Testing & Verification Worksheets and ENERGY STAR MFHR Photo Template. Note that where the requirements stated in the Testing & Verification Worksheets conflict with PHI requirements, the PHI requirement stands.

The ENERGY STAR MFHR Testing & Verification Worksheets and Photo Template can be obtained from the following ENERGY STAR website:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

6.4 Quality Control (QC) Processes

NYSERDA and its designees may perform two different types of QC on each MF NCP project: technical reviews and site inspections. This section explains how these apply to projects following the PHI path.

6.4.1 Technical Review

The technical review process occurs at the Modeling and As-Built stages of each PHI path project. The intent is to provide a thorough technical review of the submittal documents and verify that the project is meeting all MF NCP requirements. Failure to meet the performance thresholds and all MF NCP requirements will result in termination of the project.

If the submittal for any stage is not accepted, NYSERDA or the Technical Reviewer may provide comments in a review document identifying the issues of each submittal revision. The Partner should review all comments, and find and correct the errors causing each identified issue or explain why an identified issue is justified. When all issues are resolved, the Partner should respond to the Technical Reviewer's comments in the review document and include it in the next revision of the submittal.

All Partners are expected to QC their work and to submit a high-quality model along with fully completed tools and documents. Partner status may be affected if a good-faith effort is not made. If at any time during the technical review process NYSERDA or its designee deems the submittal as incomplete or missing information, the submittal will be rejected and sent back to the Partner to resubmit.

At the Energy Modeling Stage, the NYSERDA-designated MF NCP Technical Reviewer may review the model, the Building Performance Plan, and ENERGY STAR MFHR Testing & Verification Worksheets to verify that all MF NCP requirements have been met, in addition to meeting the performance thresholds. Additionally, the Technical Reviewer may verify that simulation outputs are reasonable, evaluate the general quality of the model, and evaluate whether or not the projected energy use is consistent with the features of the design.

At the As-Built stage, the Technical Reviewer may also review the model, the Building Performance Plan, and ENERGY STAR MFHR Testing & Verification Worksheets as during the Modeling stage. Additionally, the Technical Reviewer may review the ENERGY STAR MFHR Photo Template to ensure that all submittals reflect the installed conditions.

6.4.2 Site Inspections

Open Wall inspections may be performed by the NYSERDA-designated MF NCP Site Inspector on all projects pursuing PHI certification.

Partner and Applicant representatives are required to attend these site inspections. These representatives must have detailed knowledge of the project and must also be prepared to answer any project-related questions that arise.

The Partner must submit the Open Wall Submittal to the NYSERDA-designated liaison at least two weeks prior to the Open Wall Milestone. The Partner must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the inspection.

The Open Wall Milestones are based on the type of installed above-grade wall insulation:

- Exterior insulation: Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Insulated concrete form (ICF): Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Exterior Insulation and Finishing Systems (EIFS): Inspection should occur when 30% of the EIFS has been installed.
- Interior insulation only: Inspection should occur when 30% of insulation is installed and visible.
- Exterior insulation with interior insulation: Inspection should occur when 30% of interior insulation is installed and visible.
- Pre-fabricated exterior wall assemblies and modular construction: Inspection should occur when 30% of the pre-fabricated assemblies have been installed on-site. The Partner may need to visit the pre-fabrication facility to complete required testing and verification. The Partner must provide photo documentation of components that will not be visible during the Open Wall inspection.

The Partner must contact the NYSERDA-designated liaison early in construction to determine the Open Wall Milestone for projects with above-grade wall insulation types or combinations not listed here.

If the Partner fails to submit the Open Wall Submittal at least two weeks prior to the Open Wall Milestone or the Partner/Applicant is unresponsive to attempts to schedule the Open Wall inspection, the project will be required to expose sections of walls for inspection and all remaining incentive payments will be in jeopardy.

The Site Inspector may ask to see the construction drawings while on site to verify any component listed on the Open Wall Checklist that the Site Inspector cannot inspect because either it has been covered or installation has not commenced.

For any completed component no longer visible during the inspection (below-grade exterior insulation, roof insulation, pre-fabricated assembly items, etc.), the Partner must submit photographs using the ENERGY STAR MFHR Photo Template before the Inspection Report can be approved.

The Site Inspector may inspect all installed measures from the BPP. The Site Inspector may develop a report detailing the Open Wall Inspection findings, which the NYSERDA-designated liaison will return to the Partner. The report may contain Additional Requirements or Action Items for measures and prerequisites or requirements. Additional Requirements can be resolved at the As-Built submittal. Action Items must be resolved before the Open Wall Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

If severe violations of the BPP are discovered during this inspection, NYSERDA and the Site Inspector reserve the right to request that the Partner instruct the construction team to remove sections of sealed walls to fully inspect insulation and air sealing components. Additionally, NYSERDA and its representatives reserve the right to require a second Open Wall inspection to take place once all the required corrections are complete.

Failure to meet the requirements of this Open Wall Inspection may result in termination of the project.

6.5 Additional Requirements

6.5.1 Modeling Guidelines

All MF NCP projects following the PHI path shall follow the PHI Passive House Standard v9.5 – PH Classic, with the additional requirements:

- Any deviations from program defaults for operating assumptions, such as source-to-site conversion, plug loads and hours of operation, are subject to review and must be specifically noted in the BPP.
- If a project includes an HVAC configuration or system type that cannot be explicitly modeled in the PHPP software, the project team must work directly with PHI staff to ensure that the energy use of that system is accurately captured in the model.
- Any calculations performed outside of the approved version of PHPP, including but not limited to HVAC systems that are not directly supported, capturing power of continuously running fans integral to heating/cooling units, methodology for aggregating heating systems of different type /efficiency for input into PHPP, etc. must be included in the NYSERDA submittal and are subject to NYSERDA approval.

At the Applicants and Partners option, the model used to show compliance with the MF NCP Tier 3 performance thresholds, which are above and beyond PHI minimum certification requirements, may choose to alter their model as follows. Note the project is still required to meet all PHI certification requirements without this allowance.

- When calculating the Primary Energy Demand metric to determine a project's compliance with the performance thresholds specified in its approved performance tier, the project may choose to exclude the energy use associated with optional amenities, including dishwashers, laundry facilities, and exterior lighting. If excluded, however, that component must, at minimum, meet the modified prescriptive path requirement for that component as defined in the Modified Prescriptive Path Requirements (Attachment E) (e.g., dishwashers and clothes washers must be ENERGY STAR® certified). Additional optional amenities, such as vending machines, on-site gym equipment, etc., may be excluded with prior NYSERDA approval.

6.5.2 ENERGY STAR Benchmarking

NYSERDA requires benchmarking for all PHI path projects. Building performance is as much a function of proper building management as the energy conservation measures incorporated into the structure. Therefore, after completing the MF NCP, the developer or building owner must commit to benchmarking their building in Portfolio Manager.

Portfolio Manager is an online, interactive energy management tool that allows Applicants to measure and track their building's energy and water consumption, identify investment priorities, and verify improvements over time. Multifamily housing communities can use Portfolio Manager to track weather-normalized energy use intensity (EUI), energy costs, greenhouse gas emissions, and water consumption. For more information on how to use

Portfolio Manager, see the Portfolio Manager – Multifamily Housing Quick Start Guide document at the following ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_benchmarking

To accomplish this goal, the developer, building owner, or an entity working on their behalf must have the capability to evaluate the utility consumption of the residential-associated spaces independent of any commercial/retail space. These non-residential associated parts of the building shall be separately metered (or sub-metered) for electricity, gas, fuel oil, water, steam, and hot water for domestic and/or space heating purposes. The developer or building owner should also work with tenants to secure consumption information. If the building is direct-metered for utilities to the apartments, the building owner must secure signed releases from individual apartment occupants to allow for benchmarking. In addition, the building owner must provide a signed release for the common area/whole-building utility meters. All data uploaded to Portfolio Manager is strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments.

7 Modified Prescriptive Path (MoPP)

The following section describes the requirements for the MoPP. This compliance path does not result in an ENERGY STAR label for the final project's units, but may result in the New York Energy \$mart designation from NYSERDA. Please reference Appendix A of this document for the Modified Prescriptive Path Process Flow Chart.

Projects following this path must comply with the Modified Prescriptive Path Requirements (Attachment E) and the ENERGY STAR MFHR Testing & Verification Protocols.

New Construction projects following the MoPP will be eligible for Tier 1 only. Gut rehabilitation projects following the MoPP may be eligible for Tier 2.

7.1 Submittal Requirements

For the Applicant to receive the NYSERDA incentives approved for their project, the Partner must submit the required documentation as detailed in the Stages below. These submittals may be reviewed by NYSERDA or its designee. The three submittal Stages are described below. The incentives will only be paid if these submittals are approved by NYSERDA. All documents listed in this section must be submitted to the project's assigned NYSERDA-designated liaison and approved by NYSERDA.

7.1.1 Stage 1: Modified Prescriptive Path Calculator

The submittal must show that the project achieves the performance target and meets the requirements detailed in the Modified Prescriptive Path Requirements (Attachment E) and the ENERGY STAR MFHR Testing & Verification Protocols. Note there are no incentives associated with this submittal.

These submittal documents must be submitted prior to, or with, the Open Wall Submittal.

	Documents Required for Stage 1:	Document Obtained From:
<input type="checkbox"/>	Applicant-Partner Contract (signed by both parties)	Partner created document
<input type="checkbox"/>	LMI Documentation (if not previously submitted)	See Table 2.1
<input type="checkbox"/>	Proposed Modified Prescriptive Path Calculator	NYSERDA's website
<input type="checkbox"/>	Complete Construction Documents (CDs)	Applicant/Developer/Design Team

7.1.2 Stage 2: Open Wall Submittal

For the MoPP, the first NYSERDA incentive is available to the Applicant when the project's Open Wall Site Inspection has been performed and approved by NYSERDA or its designee. The Partner must submit a complete Open Wall Submittal to the NYSERDA-designated liaison at least two weeks before the project achieves the Open Wall Milestone. This gives the NYSERDA-designated MF NCP Site Inspector time to properly schedule the Open Wall inspection. The purpose of the inspection is to verify that typical Open Wall components are installed in accordance with MF NCP requirements. This includes measures from the Modified Prescriptive Path Requirements (Attachment E) and the ENERGY STAR MFHR Testing & Verification Protocols.

	Documents Required for Stage 2:	Document Obtained From:
<input type="checkbox"/>	Site Inspection Request Form (Attachment F)	NYSERDA's website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA

7.1.3 Stage 3: As-Built Submittal

The second incentive is available to the Applicant when the project construction is complete, and NYSERDA has approved the As-Built Submittal and Data Release Authorization Forms (DRAFTs). This submittal must show that the project has complied with all Modified Prescriptive Path Requirements (Attachment E) and the ENERGY STAR MFHR Testing & Verification Protocols. If the project does not comply, the Partner must contact the NYSERDA-designated liaison prior to submittal.

The Partner must work with the Applicant to determine whether to submit Tenant DRAFTs (Attachment H) or to follow the alternative process to allow the NYSERDA-designated liaison to access the utility consumption information directly.

- DRAFTs: All projects are eligible to follow the DRAFT process. The Partner must submit the Owner DRAFT (Attachment G), which must include utility information for all common areas of the building, and Tenant DRAFTs (Attachment H), which must include utility information for a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five apartments. Of the 10 percent sample, at least one of each apartment type (e.g., studio, 1 bedroom, large 1 bedroom) must be represented. Additionally, a list of all apartment numbers and their corresponding apartment type (e.g. studio, large 1 bedroom) must be provided.
- As an alternative to submitting the Tenant DRAFTs (Attachment H) and associated list of apartments, the Applicant must complete and sign the utility’s Letter of Authorization and send it and a copy of the building’s utility bill to the Partner. The Partner must then complete the application tab of the utility’s Aggregated Consumption Data Request form (if applicable), compile all documents, including the Owner DRAFT (Attachment G), and submit to the NYSERDA-designated liaison. All data is kept strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments. To be eligible to follow this approach, the project’s electric and/or gas utility must provide aggregated data.

Documents Required for Stage 3:		Document Obtained From:
<input type="checkbox"/>	As-Built Modified Prescriptive Path Calculator	NYSERDA’s website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA

Required DRAFT Documents:

<input type="checkbox"/>	Owner DRAFT (Attachment G) (for all common area utility accounts) (executed)*	NYSERDA’s website
<input type="checkbox"/>	Tenant DRAFTs (Attachment H) (executed)	NYSERDA’s website
<input type="checkbox"/>	List of each apartment number and type (e.g., studio, 1 bedroom)	Partner created document

Alternative utility account document submittal requirements, if Tenant DRAFT Documents and list of sample apartments are not submitted:

<input type="checkbox"/>	Owner DRAFT (Attachment G) (for all common area utility accounts) (executed)	NYSERDA’s website
<input type="checkbox"/>	Utility’s Letter of Authorization*	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/>	Utility’s Aggregated Consumption Data Request	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp National Grid: http://www.nyc.gov/html/gbee/downloads/pdf/2017_national_grid_nyc_benchmarking_data_request_form.pdf

<input type="checkbox"/>	Copy of utility bill for project address and account numbers	Applicant/Developer
<input type="checkbox"/>	Partner must provide "lease-up" date (date when the building will be occupied)	Partner/Applicant

* The signatory of this Authorization Form must be the utility account holder

7.2 Associated Documents

7.2.1 Modified Prescriptive Path Calculator

In lieu of submitting the Building Performance Plan, MoPP projects must submit the Modified Prescriptive Path Calculator. This calculator includes a checklist where the Partner and Applicant confirm that all Modified Prescriptive Path Requirements (Attachment E) and ENERGY STAR MFHR Testing & Verification Protocols are met. It also calculates estimated savings based on project-specific data for NYSERDA reporting purposes. It incorporates the ENERGY STAR MFHR Testing & Verification Worksheets, as well as tabs that report information to NYSERDA. There is extensive linking between the tabs in this document to reduce the amount of data entry required of the Partner.

The cells and tabs are color-coded to guide the Partner in properly filling in the calculator. All cells that require the Partner to input information are blue.

- *Modified Prescriptive Path Checklist:* This tab outlines the Modified Prescriptive Path Requirements (Attachment E) in checklist form. In addition to checking each box to indicate that the requirement has been met, certain components require basic information be entered. These cells are colored blue.
- *Savings:* This tab calculates the savings of each measure and the entire project, based on MF NCP-wide assumptions. No information should be changed in this sheet; it is for NYSERDA informational purposes only.
- *Testing & Verification Worksheets (Remainder of the tabs):* After the final plan review confirms all recommendations have been integrated into the construction documents, the ENERGY STAR MFHR T&V Worksheets are intended to be printed and brought to the field. They list the measures and building components to be inspected, mandatory requirements to be confirmed, and any additional relevant information identified during the plan review. Once completed, they are used to document that each Modified Prescriptive Path requirement and each measure included in the As-Built Building meets all requirements and follows ENERGY STAR MFHR T&V Protocols.

7.2.2 Testing and Verification Protocols and Worksheets

Projects following the Modified Prescriptive Path (See Attachment E) are required to comply with the ENERGY STAR MFHR Testing & Verification Protocols. The ENERGY STAR MFHR Testing & Verification Protocols are mandatory requirements for the inspection, testing, and verification of components related to the project's energy performance. All inspections, diagnostic tests, and photo documentation described within the Protocols are required for each of the participating project's components and systems. Results of testing and verification must be documented in the ENERGY STAR MFHR Testing & Verification Worksheets (included in the Modified Prescriptive Path Calculator) and ENERGY STAR MFHR Photo Template. The Testing & Verification Protocols and Photo Template can be obtained from the following ENERGY STAR website:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

7.3 Quality Control Processes

NYSERDA and its designees may perform two different types of quality control on each MF NCP project: technical reviews and site inspections. This section explains how these apply to projects following the Modified Prescriptive Path.

7.3.1 Technical Reviews

The technical review process occurs at the Modified Prescriptive Path Calculator submittal stage and As-Built stages of each Modified Prescriptive Path project. The intent is to provide a thorough technical review of the submittal documents and to verify compliance with the Modified Prescriptive Path Requirements (Attachment E).

The NYSERDA-designated MFNCP Technical Reviewer will focus on identifying errors within the Modified Prescriptive Path Calculator. Failure to meet the Modified Prescriptive Path Requirements may result in termination of the project.

At the Modified Prescriptive Path Calculator submittal stage, the Technical Reviewer may review all inputs made in the Modified Prescriptive Path Calculator to determine that they are complete and reasonable. Additionally, the Technical Reviewer may verify that all requirements listed in the Modified Prescriptive Path Requirements have been met.

At the As-Built stage, the Technical Reviewer may also review the Modified Prescriptive Path Calculator in comparison to the ENERGY STAR MFHR Photo Template to ensure that all inputs and photos reflect the actual and installed conditions.

If the submittal for any stage is not accepted, NYSERDA or the Technical Reviewer may provide comments in a review document identifying the issues of each submittal revision. The Partner should review all comments, and find and correct the errors causing each identified issue or explain why an identified issue is justified. When all issues are resolved, the Partner should respond to the Technical Reviewer's comments in the review document and include it in the next revision of the submittal.

All Partners are expected to QC their work and submit high-quality and fully completed tools and documents. Partner status may be affected if a good-faith effort is not made. If at any time during the technical review process the NYSERDA or its designee deems the submittal as incomplete or missing information, the submittal will be rejected and sent back to the Partner to resubmit.

7.3.2 Site Inspections

Open Wall inspections may be performed by a NYSERDA-designated MF NCP Site Inspector on all Modified Prescriptive Path projects.

Partner and Applicant representatives are required to attend these site inspections. These representatives must have detailed knowledge of the project and must also be prepared to answer any project-related questions that arise.

The Partner must submit the Open Wall Submittal to the NYSERDA-designated liaison at least two weeks prior to the Open Wall Milestone. The Partner must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the inspection.

The Open Wall Milestones are based on the type of installed above-grade wall insulation:

- Exterior insulation: Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Insulated concrete form (ICF): Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Exterior Insulation and Finishing Systems (EIFS): Inspection should occur when 30% of the EIFS has been installed.
- Interior insulation only: Inspection should occur when 30% of insulation is installed and visible.
- Exterior insulation with interior insulation: Inspection should occur when 30% of interior insulation is installed and visible.
- Pre-fabricated exterior wall assemblies and modular construction: Inspection should occur when 30% of the pre-fabricated assemblies have been installed on-site. The Partner may need to visit the pre-fabrication facility to complete required testing and verification. The Partner must provide photo documentation of components that will not be visible during the Open Wall inspection.

The Partner must contact the NYSERDA-designated liaison early in construction to determine the Open Wall Milestone for projects with above-grade wall insulation types or combinations not listed here.

If the Partner fails to submit the Open Wall Submittal at least two weeks prior to the Open Wall Milestone or the Partner/Applicant is unresponsive to attempts to schedule the Open Wall inspection, the project will be required to expose sections of walls for inspection and all remaining incentive payments will be in jeopardy.

The Site Inspector may ask to see the construction drawings while on site to verify any component listed on the Open Wall Checklist that the Site Inspector cannot inspect because either it has been covered or installation has not commenced.

For any completed component no longer visible during the inspection (below-grade exterior insulation, roof insulation, pre-fabricated assembly items, etc.), the Partner must submit photographs using the ENERGY STAR MFHR Photo Template before the Inspection Report can be approved.

The Site Inspector may inspect all installed measures from the Modified Prescriptive Path Calculator, as well as all installed Modified Prescriptive Path Requirements (Attachment E). The Site Inspector may develop a report detailing the Open Wall Inspection findings, which the NYSERDA-designated liaison will return to the Partner. The report may contain Additional Requirements or Action Items for measures and prerequisites or requirements. Additional Requirements can be resolved at the As-Built submittal. Action Items must be resolved before the Open Wall Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

If severe violations of the Modified Prescriptive Path Requirements are discovered during this inspection, NYSERDA and the Site Inspector reserve the right to request that the Partner instruct the construction team to remove sections of sealed walls to fully inspect insulation and air sealing components. Additionally, NYSERDA and its representatives reserve the right to require a second Open Wall inspection to take place once all the required corrections are complete.

Failure to meet the requirements of this Open Wall Inspection will result in termination of the project.

7.4 Additional Requirement

7.4.1 Energy Star Benchmarking

NYSERDA requires benchmarking for all MoPP projects. Building performance is as much a function of proper building management as the energy conservation measures incorporated into the structure. Therefore, after completing the MF NCP, the developer or building owner must commit to benchmarking their building in Portfolio Manager.

Portfolio Manager is an online, interactive energy management tool that allows Applicants to measure and track their building's energy and water consumption, identify investment priorities, and verify improvements over time. Multifamily housing communities can use Portfolio Manager to track weather-normalized energy use intensity (EUI), energy costs, greenhouse gas emissions, and water consumption. For more information on how to use Portfolio Manager, see the Portfolio Manager – Multifamily Housing Quick Start Guide document at the following ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_benchmarking

To accomplish this goal, the developer, building owner, or an entity working on their behalf must have the capability to evaluate the utility consumption of the residential-associated spaces independent of any commercial/retail space. These non-residential associated parts of the building shall be separately metered (or sub-metered) for electricity, gas, fuel oil, water, steam, and hot water for domestic and/or space heating purposes. The developer or building owner should also work with tenants to secure consumption information. If the building is direct-metered for utilities to the apartments, the building owner must secure signed releases from individual apartment occupants to allow for benchmarking. In addition, the building owner must provide a signed release for the common area/whole-building utility meters. All data uploaded to Portfolio Manager is strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments.

8 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 <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 project. 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 (Attachment B) 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 the applicant in approximately four weeks from the receipt of a complete application whether the 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 (Attachment B). 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.

9 Attachments

- Attachment A – Multifamily New Construction Program (MF NCP) Guidelines
- Attachment B – Terms and Conditions
- Attachment C – Project Application Form
- Attachment D – Application Submittal Checklist
- Attachment E – Modified Prescriptive Path Requirements
- Attachment F – Site Inspection Request Form
- Attachment G – Owner Data Release Authorization Form
- Attachment H – Tenant Data Release Authorization Form



Low-rise Residential New Construction Program
Program Opportunity Notice (PON) 3717
\$10,300,000 Available

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

Applications accepted January 2018 through December 31, 2018 by 5:00 PM Eastern Time or until funds are fully committed, whichever occurs first. *

The Low-rise Residential New Construction Program (LR NCP) offers technical support and incentives to developers of single family, low-rise multi-unit, and low-rise multifamily new construction, as well as gut rehabilitation projects. The multi-tiered incentive structure is intended to promote increased levels of performance, up to and including net zero energy performance, identifying replicable and integrated design solutions by focusing on cost optimization analysis and financing strategies that recognize operational costs and management of perceived risks. The goal is to increase awareness of, and demand for, advanced clean energy solutions while strengthening the capacity of clean energy professionals to deliver design and construction services. Use of solar photovoltaic generation and other renewable energy systems, as well ground source heat pumps and other innovative technologies, are encouraged to achieve the higher performance targets. The Applicant is expected to hire a Home Energy Rater to act as the primary resource for their participation. LR NCP significantly but not exclusively targets the Low- to Moderate-Income (LMI) housing sector, supporting New York State and New York City housing agencies as well as other funding authorities in their efforts to secure efficient, durable, resilient and healthy housing. LR NCP is closely aligned with NYSERDA's Multifamily New Construction Program (MF NCP) to more seamlessly support the higher performance multifamily new construction market.

Application Submission: To submit a project application for incentives to the LR NCP, eligible applicants must submit a New Construction Project Application into the NYSERDA Portal, the Program database, as detailed in the Application section below.

Technical questions concerning this procurement, may be directed to Lori Borowiak (Designated Contact) at (518) 862-1090 ext. 3004 or by email Lori.Borowiak@nyserda.ny.gov, or Patrick Fitzgerald (Designated Contact) at (518) 862-1090, ext. 3385 or by e-mail Patrick.Fitzgerald@nyserda.ny.gov.

Contractual questions concerning this solicitation, may be directed to 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 may result in (1) the proposer being deemed a non-responsible offerer, and/or (2) 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. The portal application closes promptly at 5pm on the date listed above. 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>).

1 INTRODUCTION

NYSERDA's LR NCP is funded through fees paid by electricity distribution customers. NYSERDA, a public benefit corporation established by law in 1975, administers Clean Energy Fund programs as directed by the Public Service Commission.

LR NCP was developed, in part, through collaboration with New York State's homebuilders and in coordination with the United States Environmental Protection Agency (EPA) and the Residential Energy Services Network (RESNET). RESNET has adopted the Mortgage Industry National Home Energy Rating System (HERS) Standards as the national procedure for completing a Home Energy Rating to evaluate a newly constructed home's energy efficiency. RESNET Standards and Guidelines are relied on by the EPA's ENERGY STAR® Certified Homes Program and the U.S. Department of Energy's (DOE) Zero Energy Ready Homes Program, as well as by the International Energy Conservation Code and several other standards setting organizations. NYSERDA's LR NCP relies on the EPA's ENERGY STAR Certified Homes Program and other standards setting organizations to promote and encourage the adoption of innovative building practices and advanced technologies.

1.1 LR NCP Glossary of Terms:

Applicant - The site owner, property developer, or builder responsible for the management and construction of a project

Builder – The individual or entity managing the construction of a project. The builder must have a current Partnership Agreement with the EPA ENERGY STAR Certified Homes Program, and meet all requirements as detailed in the PON 3717.

Home Energy Rater (Rater) –the Builder or Applicant hires The Home Energy Rater to provide modeling, verification and testing to complete a Home Energy Rating on the dwelling units of a project. The Rater completes the Home Energy Rating in accordance with RESNET's "Mortgage Industry National Home Energy Rating System Standards" including amendments and interpretations as adopted by RESNET's Board of Directors; as well as in accordance with the EPA's ENERGY STAR Certified Homes Program technical standards and requirements, including completion of all relevant checklists.

RESNET-accredited Rating Quality Assurance Provider (Provider) - Home Energy Raters must be affiliated with a RESNET-accredited Provider accepted and approved by NYSERDA as a Primary Energy Consultant. The Provider is responsible for oversight, training, certification, quality assurance, and quality control services in support of their affiliated Home Energy Raters.

- In Salesforce, Providers are designated as Primary Energy Consultants

EPA ENERGY STAR Certified Homes Program - This program is published, promoted, and administered by the United States Environmental Protection Agency, establishing building specifications and performance requirements for the construction of homes and dwelling units that are more energy efficient than the applicable building code.

1.2 LR NCP Benefits

For Consumers: New York State homeowners and renters gain access to more energy efficient, healthy, safe, durable, and comfortable newly constructed homes.

For the Applicant: Technical assistance and targeted financial incentives are offered to encourage the integration of advanced building design features with use and reliance on highly efficient equipment, appliances, and lighting.

For Providers and their affiliated Home Energy Raters: Training and technical support are offered, in addition to financial incentives offered through this PON 3717 intended to encourage home builders' and developers' use of, and reliance on, these building science professionals.

1.3 LR NCP Overview

Applicants are offered access to incentives intended to encourage the design and construction of residential dwelling units that meet the requirements detailed in this PON 3717.

Submission of a signed project application inclusive of agreement to the LR NCP Terms and Conditions is required for all LR NCP projects (single family, multi-unit and multifamily), seeking an incentive. Participation in the LR NCP requires the Applicant to identify the builder that is an active ENERGY STAR Partner with the EPA, the RESNET Home Energy Rater that will serve the project, and the RESNET-accredited Rating Quality Assurance Provider, referred to as the Primary Energy Consultant.

Home Energy Raters must be affiliated with a RESNET-accredited Rating Quality Assurance Provider accepted by NYSERDA as an approved Primary Energy Consultant. The NYSERDA-approved Primary Energy Consultant delivers the necessary oversight, training, certification, quality assurance and quality control services in support of their affiliated Home Energy Raters.

1.4 LR NCP Eligibility

To be eligible for LR NCP participation, the dwelling unit or project must be, or be capable of and intend to become, a New York State electricity distribution customer of a participating utility company that pays into the System Benefit Charge (SBC).

For the purposes of LR NCP, low-rise residential new construction is defined as the ground-up new construction of dwelling unit(s) contained within residential buildings of not more than three (3) stories in height. Additionally, residential buildings that are more than three (3) stories in height and determined to be eligible to participate in the EPA's ENERGY STAR Certified Homes Program, will be considered for eligibility on a case-by-case basis. Dwelling units which will be "gut-rehabbed" or that are within a mixed-use building will also be considered by NYSERDA for eligibility on a case-by-case basis. Gut rehabilitation (rehab) projects that are not able to meet specific aspects of the EPA ENERGY STAR Certified Homes Program requirements may be eligible to participate and receive program benefits offered through PON 3717. Those gut rehab projects would not be designated as EPA ENERGY STAR Certified Homes but may be eligible for the New York Energy \$mart designation. Technical requirements are provided in more detail within the Performance Requirements section below.

Buildings which, per the Building Code of New York State, are defined as Institutional or are R-1 and primarily transient in nature, such as hotels or motels, are not eligible to participate. Eligibility criteria are provided in more detail within the Incentive Summary and Requirements section below. Sole discretion for determination of eligibility and access to Program benefits resides with NYSERDA.

2 APPLICATION

2.1 Definition of a Project

For the purposes of LR NCP, a project is defined as a single-family home, a multifamily building, a group of buildings, or a planned residential development or neighborhood. All residential-associated space within each multifamily building in a project must adhere to the requirements of the LR NCP, including the applicable testing and verification protocols.

To seek a commitment of incentive funding, the builders or developers must submit a complete New Construction Project Application to NYSERDA.

Final determination of how a project is defined is at NYSERDA's discretion.

2.2 Project Application

Applicants will submit project applications for incentives, monitor the status of applications, submit deliverable documentation, and perform other program-related activities via the NYSERDA Portal. The project application will progress through each status shown below.

Project Application Flow



2.2.1 Unsubmitted Status

All project applications are generated in and submitted through the portal. Unsubmitted status is reached once an Applicant generates the application. The incentive rate is not confirmed until the application has been submitted.

2.2.2 Submitted Status

The project application moves to submitted status once the Applicant has submitted the application and any documents, inclusive of acceptance of the LR NCP Terms and Conditions signed by the Applicant, to the portal.

The following additional documents may be uploaded to the portal at any time, and must be received prior to any incentive being paid:

- Low-to-Moderate Income Documentation (for projects requesting LMI incentive rates)
- Proof of ENERGY STAR Builder Partnership Agreement
- Building Permit (if available), or purchase contract with home buyer (for single-family homes)
- Access to construction documents

The Applicant must submit all project applications electronically using the portal. The Applicant will be able to assign access to a project after they have initiated the application by identifying additional roles (contacts) on the project application, and designating read-only access or read-write access. Read-write access will allow the Applicant to collaborate with their Home Energy Rater, Provider (Primary Energy Consultant), or builder to submit the application.

The project application must be signed by the Applicant either electronically in the portal, or by printing the Certification Statement and uploading the signed document to the portal as an attachment.

Applicants that are unable to submit a project application electronically may contact NYSERDA at ResMFNCP@nyserda.ny.gov or by calling 1-800-284-9069 to request a hard copy application.

2.2.3 Under Review Status

Upon receipt of a project application, program staff will move the application to under review status. At this time the application, will move into the queue for technical review.

2.2.3.1 Technical Review

Once the project application has been received, the project may undergo a full technical review inclusive of a Scoping Session with the project team, to confirm that the project can achieve the stated performance and meets all program requirements, as described in this PON 3717.

If a project application has missing or inaccurate information or documents, the Applicant will be asked to provide the correct information in the portal.

2.2.4 Pending Approval Status

When the project application has passed technical review, the application will be moved to pending approval status. In this status, the purchase order is finalized and funding for the application is set aside.

2.2.5 Approved Status

When the project application has been approved by NYSERDA, the Applicant will receive their project award letter via email notification.

Applicants have until sixty days following the date in the award letter to complete the project, finalize the rating, and submit for final project incentive request approval. Projects that do not meet the deadline and have no extension on file will be in jeopardy of cancellation.

While in approved status, the Applicant may submit a project cancellation request, project extension request, project modification request, or project invoice request.

2.2.5.1 Project Cancellation Requests

Requests to cancel a project must be done through the portal by submitting a request for cancellation to the NYSERDA Project Manager and Project Coordinator. Should an Applicant decide to move forward with a project after cancellation, the Applicant must submit a new project application package. In this case, the incentive level and all rules in effect at the time the new application is submitted will apply.

2.2.5.2 Project Extension Requests

To request an extension, the Applicant must submit a project extension request in the portal to the NYSERDA Project Manager and Project Coordinator. NYSERDA will approve extensions on a limited case-by-case basis. Project extensions may be granted for legitimate and verifiable

reasons which are beyond the control of the Applicant, builder, or customer. No other requests will be considered.

2.2.5.3 Project Modification Requests

To request a modification to an approved project, the Applicant must submit a project extension request in the portal to the NYSERDA Project Manager and Project Coordinator. A project modification request must state the original project award amount, performance tier, and unit count, the proposed performance tier and unit count, as well as the reason for the change. NYSERDA will review the request, and may elect to calculate, apply, and approve the modification, inclusive of an adjusted incentive amount (if applicable).

2.2.5.4 Project Incentive Requests

The Applicant will receive the total project incentive in one installment, unless it is expressly stated in the application project Description that the project will complete in phases. To request the incentive, the Applicant must submit a project payment request in the portal to the NYSERDA Project Manager and Project Coordinator, upon completion of the project deliverables in the portal.

The deliverable submission must include:

- Home Energy Rating Certificate for each dwelling unit of the project that reflects the dwelling unit's condition when the confirmed Home Energy Rating was performed
- ENERGY STAR v3.1 Home Report (required only for projects that include PV)
- Building Permit (if not provided with project application)

2.2.6 Completed Status

The project has achieved completed status once construction is complete, all deliverables have been accepted, and final payment has been approved by NYSERDA.

2.3 Determining Market Type

Eligibility to seek Low- to Moderate-Income (LMI) incentives can be established for the entire project if the majority of dwelling units will have a household income of no more than 80 percent of the State or Area Median Income (whichever is greater). Projects not meeting this majority threshold will be considered Market Rate. Eligibility to seek LMI incentives for individual dwelling units within any Market Rate project can also be established based on the thresholds stated above, when any related proxy does not require 100% of households to meet LMI requirements, the number of dwelling units associated with the project at each household income level must be clearly detailed in the submitted documentation. Eligibility to seek LMI incentives must be established through reliance on one of the proxies detailed in Table 2.1.

2.3.1 Low- to Moderate-Income (LMI)

To establish eligibility for the LMI incentive amounts, documentation shall be submitted as soon as possible and prior to NYSERDA's payment of any incentive. NYSERDA allows certain proxies to be submitted to verify the project or individual dwelling unit are eligible for LMI incentives as detailed in Table 2.1 of this section. Additional proxies may be considered by NYSERDA to establish eligibility for LMI incentives on a case-by-case basis.

2.3.2 Market Rate

Low-rise Residential New Construction Program

Eligible projects and dwelling units that do not qualify for LMI incentive amounts as detailed above may be eligible for Market Rate incentives.

TABLE 2.1 LOW- TO MODERATE-INCOME (LMI) PROXIES

ELIGIBILITY PROXY	DESCRIPTION	TYPE OF DOCUMENTATION
1. US HUD, USDA-RD, and other Federally Regulated LMI Housing	<p>Properties that receive subsidies from US HUD or USDA-RD based on household income may be defined as LMI, based on household income criteria detailed in the contract or award, including regulatory control or structures such as:</p> <ul style="list-style-type: none"> • Section 8 Contract • Sections 202, 236, 811 • Public Housing Authorities 	Submit a copy of the US HUD contract or contract award notice.
2. NYS HCR-Regulated LMI Housing	Properties with subsidized mortgages or contracts that place them under the regulatory control of NYS HCR may be defined as LMI, based on household income criteria detailed in the NYS HCR contract or award.	Submit a copy of NYS HCR contract or contract award notice.
3. Low-Income Housing Tax Credits	Properties that receive tax credits may be defined as LMI based on household income criteria detailed in the tax credit award notice.	Submit a copy of tax credit award notice from NYS-HCR or NYC HPD.
4. NYC HPD-Regulated LMI Housing (or similar local housing agencies)	Properties with loans, mortgages, or deeds of purchase (HDFC incorporation) from NYC HPD or similar local housing agencies may be defined as LMI, based on household income criteria detailed in the award documentation.	Submit documentation of current mortgage, loan closing, HDFC incorporation, or deeds.
5. SONYMA Mortgage Insurance	Properties subsidized for LMI residents with SONYMA subsidized financing through the NYS HFA may be defined as LMI, based on household income criteria detailed in the contract or award.	Submit a copy of loan closing/ mortgage insurance award documents.
6. Participation in NYS HFA's 80/20 Program or similar HFA-regulated offerings	Properties that have been accepted into the NYS HFA's 80/20 Program, or similar HFA-regulated offering, may be defined as LMI based on household income criteria detailed in the contract	Submit a copy of the award letter or NYS HFA or similar HFA contract documents.
7. Participation in NYC HDC's 80/20 or Mixed Income Programs or similar HDC-regulated offerings	Properties that have been accepted into the NYC HDC's 80/20 or Mixed Income Program, or similar HDC-regulated offering, may be defined as LMI based on household income criteria detailed in the contract or award.	Submit a copy of the award letter, NYC HDC contract documents, or similar HDC-regulated contract documents.

Glossary of Terms:

USDA-RD- United States Department of Agriculture Rural Development
 US HUD- United States Department of Housing and Urban Development
 NYS HCR- New York State Housing and Community Renewal
 NYS HFA- New York State Housing Finance Agency
 NYC HDC- New York City Housing Development Corporation
 NYC HPD- New York City Housing and Preservation Development
 SONYMA- State Of New York Mortgage Agency

3 INCENTIVE SUMMARY AND REQUIREMENTS

LR NCP offers incentives for projects meeting the requirements detailed in *PON 3717*, and the *LR NCP Terms and Conditions*. Incentives will be paid based on the Applicant having met the technical requirements detailed in those documents within the required timeframe.

Per Dwelling Unit Incentives for Market Rate Projects						
2016			Performance Tier	2017-2018		
Multi-unit		For 1-2 family homes and the first 10 attached townhouses		Multi-unit		For 1-2 family homes and the first 10 attached townhouses
Up to 50 Dwelling units	More than 50 Dwelling units			Up to 50 Dwelling units	More than 50 dwelling units	
\$0	\$0	\$0	Tier 1	\$0	\$0	\$0
\$550	\$300	\$1,250	Tier 2	\$450	\$200	\$950
\$2,600	\$2,200	\$4,500	Tier 3	\$1,600	\$1,400	\$4,000

Per Dwelling Unit Incentives for LMI Projects						
2016			Performance Tier	2017-2018		
Multi-unit		For 1-2 family homes and the first 10 attached townhouses		Multi-unit		For 1-2 family homes and the first 10 attached townhouses
Up to 50 Dwelling units	More than 50 Dwelling units			Up to 50 Dwelling units	More than 50 dwelling units	
\$0	\$0	\$0	Tier 1	\$0	\$0	\$0
\$1000	\$600	\$1,800	Tier 2	\$1000	\$600	\$1,700
\$3,500	\$3,100	\$4,300	Tier 3	\$3,500	\$3,100	\$4,200

RESNET Accredited Provider Incentive per Dwelling Unit	
RESNET Accredited Provider Incentive	\$100

3.1 Project Incentives

The Applicant is eligible to receive per dwelling unit incentives for the design and construction or gut-rehabilitation of residential dwelling units that have met all requirements of PON 3717. Townhome developments seeking formal Program commitment which have more than ten units will receive the 1-2 family home incentive for the first ten units and the multi-unit incentive for the additional units.

The fully executed incentive award letter issued by NYSERDA will establish the incentive amount the project will be eligible to request.

3.1.1 *Per Dwelling Unit Incentive*

To be eligible to receive LR NCP incentives for any dwelling unit, the required deliverables must be submitted to NYSERDA within sixty (60) days of the Rater's last applicable confirmed Home Energy Rating as identified on the Home Energy Rating Certificate, or within sixty days of the Date identified in NYSERDA's letter of commitment to the project, whichever comes first. All project deliverables must be uploaded to the project page in NYSERDA's New Construction Portal.

The submission must include:

- Home Energy Rating Certificate that reflects the dwelling unit's condition when the confirmed Home Energy Rating was performed
- ENERGY STAR v3.1 Home Report (required only for projects that include PV)
- Building Permit (if not provided with project application)

If additional documentation or corrective action is required, NYSERDA or NYSERDA's Designated Contact will notify the Applicant and their Home Energy Rater by email of incomplete or unqualified submissions, and will cancel the project with no action taken after thirty (30) days, if the matter has not been resolved.

NYSERDA's commitment of incentives may be provided prior to or during construction for low-rise multi-unit or multifamily projects and planned residential neighborhood developments, as well as single-family homes. Projects that have already initiated construction at the time of application must be able to meet all Rating and Inspection requirements. If an Applicant elects to change the performance tier it is pursuing prior to the submittal of the Incentive Submission Package, the Applicant shall notify NYSERDA in writing or via email. To change to a higher performance tier, the project must receive explicit approval from NYSERDA.

3.2 **Provider Incentives**

RESNET-accredited Rating Quality Assurance Providers approved to serve LR NCP as Primary Energy Consultants are offered an incentive for dwelling units that meet LR NCP requirements. It is the Provider's responsibility to collect and manage information related to their affiliate Raters' project activities. The Provider's eligibility for incentive payments shall be embodied in the Monthly Report submissions described in Section 5.4 Requirements for RESNET-accredited Providers.

3.2.1 *Payment Request and Approval*

Upon upload of the project Home Energy Rating documentation (as defined by NYSERDA), the Provider will raise an invoice within the NYSERDA portal for the Provider incentive payment. NYSERDA's approval of incentive payment(s) to the Provider will be based on review and acceptance of the Monthly Report inclusive of modeling software or data output files. If incentive payments for any dwelling units submitted as part of the Monthly Report cannot be approved, notification will be given to the Provider by NYSERDA or its designee. The Provider may resubmit denied documentation, inclusive of the relevant modeling software or data output files once any outstanding issues have been resolved. Deficiencies which result in denial and non-payment of the incentive may include, but are not limited, to the following:

- The relevant project incentive was not submitted to NYSERDA's designated representative by the end of the previous reporting period; or
- The relevant project incentive was not compliant with LR NCP requirements and was therefore not approved.

3.3 Renewable Energy, Ground Source Heat Pumps, and Other Innovative Technologies

Applicants to LR NCP are encouraged to incorporate solar photovoltaics and other renewable energy systems, as well ground source heat pumps and other innovative technologies, into their projects to achieve the performance targets. Applicants participating in LR NCP are not restricted from receiving targeted incentives additionally available from other NYSERDA programs to support those types of installations.

4 PERFORMANCE REQUIREMENTS

To participate and access LR NCP incentives, all dwelling units must, at minimum, meet the relevant version of the EPA ENERGY STAR Certified Homes Program, except where specific relief is allowed for gut rehabilitation projects and as detailed within Sections 4.6 and 4.7. Additional LR NCP requirements are detailed throughout this section.

4.1 Minimum Performance Requirements Associated with Each Tier

The following table represents the minimum performance requirements for all projects participating in LR NCP, separated by tier. Gut Rehabilitation of Historic Buildings are eligible for potential allowances, as described in Section 4.7.

	Tier 1	Tier 2	Tier 3
Minimum Performance Requirements	EPA ENERGY STAR Certified Homes Version 3.0 plus additional requirements detailed throughout this document	EPA ENERGY STAR Certified Homes Version 3.1 plus additional requirements detailed throughout this document	EPA ENERGY STAR Certified Homes Version 3.1 plus additional requirements detailed throughout this document, including the following:
			The as-built dwelling unit must achieve a HERS Index ≤ 10 , inclusive of installed solar PV.
			Dwelling units with a conditioned floor area $>1,500$ S.F. must achieve a HERS Index ≤ 40 prior to inclusion of Solar PV.
			Dwelling units with a conditioned floor area $\leq 1,500$ S.F. must achieve a HERS Index ≤ 50 prior to inclusion of Solar PV.

For Tier 3 projects, Photovoltaic (PV) arrays shall be modeled such that predicted output in the energy model matches the predicted output verified by the solar contractor. Please seek guidance from NYSERDA for software-specific procedures. Projects which otherwise meet the Tier 3 requirements intending to seek NYSERDA’s commitment for and payment of those Tier 3 incentives will typically be required to locate the solar electric array(s) on-site, co-located with the project’s buildings. Project applicants may seek a waiver from NYSERDA to allow for a properly sized solar electric array to be located on a remote site and in a manner which allows a remote net metering arrangement to achieve the required offset of the project’s predicted energy use. To receive NYSERDA’s approval of the waiver request, the applicant must demonstrate the solar electric array’s ownership is structured in a manner which assures its output will be dedicated to the project. Additionally, Tier 3 projects may seek up to 7% increase to the pre-PV HERS Index threshold for projects using REM/Rate v15.0 or newer modeling software, based on submission of a waiver request, and its approval by NYSERDA or NYSERDA’s designee.

4.2 Envelope Air Leakage Minimum Performance Requirements

Detached one- and two-family dwelling units and townhomes permitted on or after October 3, 2016, must meet the Envelope Air Leakage limits established by the 2016 Energy Conservation Construction Code of New York State.

For detached one-and-two-family dwellings and townhomes permitted prior to October 3, 2016, Envelope Air Leakage may not exceed air changes at a pressure difference of 50 Pascals with respect to the outdoors, as listed in the Table below.

REQUIREMENT	Minimum Performance Requirements
Envelope Air leakage	CZ 4: Maximum 5 ACH ₅₀
	CZ 5,6: Maximum 4 ACH ₅₀
	Use of guarded blower door or whole-building testing to establish compliance with this standard is prohibited.

4.3 Mechanical Systems Minimum Performance Requirements and Minimum Equipment Efficiencies

The following table lists the minimum performance requirements and minimum equipment efficiencies required for all projects participating in LR NCP. Minimum performance requirements for central mechanical systems not listed in section 4.3 are listed in Section 4.4. Applicants intending to certify as PHIUS+ or PHI, or those who can demonstrate that the building’s design will achieve an equivalent level of energy performance, may request waiver exemption from section 4.3 requirements.

EQUIPMENT ^{1, 2}	Minimum Performance Requirements
Gas/Propane-fired Furnaces or Boilers (including indirect domestic hot water boilers)	90 AFUE or currently ENERGY STAR certified
Oil Furnace or Boilers	86 AFUE or currently ENERGY STAR certified
Air-source Heat Pumps & Ductless Mini-splits	Must meet current NEEP Cold Climate Air-source Heat Pump specifications .
	Air-cooled heat pumps sized between 65 and 240 KBtu/h must meet the following minimum efficiencies: Cooling: 11.1 EER/11.6 IEER; Heating: 3.3 COP (@ 47 degrees Fahrenheit Dry-Bulb).
Variable Refrigerant Flow (VRF) or Variable Refrigerant Volume (VRV) Multi-split Air Conditioning and Heat Pump Equipment	Must have AHRI rating per AHRI Standard 1230 with matched indoor and outdoor units
Geothermal Heat Pumps	<u>ENERGY STAR certified</u>
Combination Boiler (Space Heating and Domestic Water Heating)	Must be direct vent unit; specifically approved by the manufacturer for combination use; ENERGY STAR certified and provide priority domestic hot water controls. If heating hot water loop is charged with potable water, provide automatic warm weather recirculation system.
Conventional Split-Systems or Packaged A/C	CZ 4 only: SEER 14.5 / 12 EER
	Air conditioners, air cooled sized between 65 and 240 KBtu/h must meet the following minimum efficiencies: 11.5 EER/12.0 IEER.
Small-duct, High Velocity Split-System A/C	SEER 13
Space-Constrained A/C / Heat Pump Condenser	Air Conditioners: SEER 12
	Heat Pumps: SEER 12; HSPF 7.4

Packaged Terminal Air Conditioner (PTAC)	13.8 (0.300 X Cap/1000) EER
Packaged Terminal Heat Pump (PTHP)	Cooling: 14.0 (0.3 X Cap/1000) EER; Heating: 3.7- (0.052 X Cap/1000) COP. "Cap" means rated capacity of the product in Btu/h. If < 7,000 Btu/h, use 7,000; if > 15,000, use 15,000 in the calculation.
Room Air Conditioners	ENERGY STAR certified
On-Demand Gas-Fired Tankless Water Heater	ENERGY STAR certified
Heat Pump Water Heaters	ENERGY STAR certified
Solar Thermal DHW Systems	Must comply with NYSERDA's Solar Thermal Program, if available.
Air-cooled chillers, with or without condensers	Pre-Approval required. Contact NYSERDA or <u>NYSERDA's designated representative</u> to discuss minimum performance requirements.
Domestic Hot Water (DHW) Distribution Systems	Boilers (inclusive of space heating boilers and boilers creating domestic hot water) with an input >300,000 Btu/h shall have a minimum thermal efficiency of 87%; Re-circulating hydronic or DHW system piping carrying liquid at temperatures greater than 105°F must have minimum 1" of insulation with $K \geq 0.27$ Btu/in./hr·ft ² ·°F; Indirect Water Heaters or Storage Tanks shall have a tank standby loss of 1.5°F/hr or less.

Any sealed combustion appliance which is configured for combustion air to be piped directly from outside the building's thermal envelope must be installed in that manner.

² Equipment specified for multifamily buildings that are not listed in this table must meet the efficiencies listed in ASHRAE 189.1-2011. Consideration should be given to the possibility of installing multiple units that meet the minimum efficiency ratings of Table IV.

4.4 Multifamily Building Minimum Performance Requirements

The following table lists the additional minimum performance requirements specific to multifamily buildings participating in the LR NCP. Buildings intending to certify as PHIUS+ or PHI may request a waiver exemption from section 4.4 requirements.

ITEM	Multifamily Building - Minimum Performance Requirements
Performance testing and the HERS Rating	Dwelling units in multifamily buildings must be individually performance tested and individually HERS Rated, per RESNET Guidelines for Multifamily Energy Ratings. See Section 4.5 for Home Energy Rating Sampling requirements.
Residential-associated Common Space	Residential-associated space within multifamily buildings shall not be included as part of the dwelling unit's HERS Rating. The ENERGY STAR Certified Homes Program's Thermal Enclosure Checklist and Water Management Requirements must be inspected for and completed, with all requirements met. Wall penetrations including mechanical, fire suppression, fire extinguisher cabinets or trash chutes must be sealed to prevent air flow into or through vertical chases. Building entry and exit doors shall have weather-stripping installed.
Envelope Air Leakage Testing	Dwelling units within buildings defined as R-2, R-3, or R-4 per section 310 of the Building Code of New York State shall be tested to verify an envelope air leakage rate not exceeding 0.30 CFM ₅₀ per square foot of enclosure surface area

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Central Distribution Hydronic Heating Systems	For hydronic distribution systems without automatic balancing valves, all supply/return headers must be designed in a “reverse return” configuration (i.e. first riser supplied is the last returned, etc.) and/or sized based on a water velocity of less than 4 ft/s. Total pressure drop of terminal unit branch piping and fittings between a supply and return riser must be significantly greater than the total pressure drop from the top to the bottom of these risers. Calculations and assumptions for sizing circulating pumps must meet ASHRAE Handbook, HVAC Systems and Equipment or equivalent industry accepted standard.
Commercial Indirect Storage Tanks	R-12.5 minimum thermal insulation required
Central DHW Systems	Temperature setting of storage water heaters must not exceed 140 F and temperatures measured at faucets and showerheads shall not exceed 125 F.
	Self-contained thermostatic or electronic mixing valves shall be used to control hot water temperature for central systems.
Common Area Lighting	Fixtures in residential-associated common space shall be high efficacy per ECCC 2016 definition.
Occupancy Controls	All residential-associated common space, except those spaces intended for 24-hour occupation or where automatic shutoff would endanger the safety of occupants, must have occupancy sensors or automatic bi-level controls.
Exit Signs and Emergency Lighting	All exit signs shall be specified as LED (not to exceed 5W per face) or photo-luminescent and shall conform to local building code.
Outdoor Lighting	80% of outdoor lighting fixtures shall be ENERGY STAR certified and have ENERGY STAR certified lamps installed. Alternatively, 100% of outdoor lighting fixtures must have high-efficacy lamps installed. High efficacy: ENERGY STAR certified CFLs/LEDs, T-8 or smaller, or lamps with 60 lumens/W for lamps over 40W; 50 lumens/W for lamps over 15W to 40W; 40 lumens/W for lamps 15W or less. Fixtures shall include automatic switching or photocell controls for lighting not intended for 24-hour operation, per code.
Elevator Shafts	Elevator shaft(s) must be insulated in relation to unconditioned space and elevator doors must be gasketed properly if exposed to unconditioned space.
Parking Garages	Enclosed garages must be depressurized relative to occupied or inhabited spaces.
	Heated garages (including plenums in garage ceilings) are not allowed. Piping location shall be within the conditioned space or grouped properly and insulated to prevent freezing if outside conditioned space. Energy code compliant heat trace is allowed. Include the wattage within limits set in the stairwell electric wattage total, if any.
	Ice Prevention – Installation of radiant heat, either wall- or ceiling-mounted or within the garage floors or sidewalks is only allowed as a safety feature, and written authorization from NYSERDA is required. This measure must comply with current energy code
Motors	Three-phase motors 1 HP or larger shall be NEMA premium efficiency or greater. VFD motors may be utilized if documentation confirms performance is equal to or better than a comparable NEMA Premium motor.
Ventilation	Residential associated common space ventilation systems shall be designed and tested to satisfy minimum requirements of ASHRAE 62.1-

	2013, without exceeding minimum rates by more than 50%. Natural ventilation strategies for residential associated common spaces are allowed as outlined in ASHRAE 62.1-2013.
Residential-associated Common Area HVAC Systems	Use of electric resistance heating equipment is generally discouraged in common areas. However, electric resistance heating is allowed in limited load areas (stairwells and mechanical closets, etc.), if the system output will be less than 2,000 watts, total ¹ and a high-limit thermostatic control of < 50° F is installed.
	Visual inspection of duct sealing details shall include the following at a minimum: ALL transverse joints and take offs, duct transitional junctions and gaps between take-off boot and gypsum board has been effectively sealed. Mastic and other UL-181 compliant material has been applied within temperature range and per all other manufacturer’s requirements.

4.5 Home Energy Rating Sampling

Projects electing to apply sampling protocols must comply with the RESNET National Standard for Sampled Ratings. Additionally, sampling for projects participating in NYSERDA’s LR NCP shall be limited to Blower Door and Duct Leakage testing only.

4.6 Gut-Rehabilitation Projects

A separate project application package must be submitted for each gut rehabilitation project. NYSERDA will consider each project’s eligibility to participate and seek incentives on a project-by-project basis.

4.6.1 Pre-Existing Conditions

The pre-existing condition of the building(s) must be confirmed by the Rater through a site visit or detailed photographic report. This verification process must occur following submission of the project application package but prior to demolition or the installation of any improvements to the dwelling units or buildings.

4.6.2 Technical Waiver Requests

All dwelling units and common area spaces included in the gut rehabilitation project must meet the LR NCP requirements. The most desirable path is that all requirements associated with designation as a New York ENERGY STAR Certified Home are met, inclusive of the [U.S. EPA’s requirements for gut rehabilitation projects](#).

When New York ENERGY STAR Certified Homes requirements are not deemed economically justified, the LR NCP Energy \$mart designation and incentives associated with the project’s performance may be available as an alternative path. Permission to use this alternative must be sought through a technical waiver request which identifies those specific requirements in question.

For the technical waiver request to be considered for acceptance, the applicant must demonstrate the specific New York ENERGY STAR Certified Homes standard(s) or requirement(s), as detailed within this document and U.S.EPA publications, that would not be technically feasible or economically justified. The waiver request must propose alternative methods to accomplish the intent of those standards or requirements which would not be met.

¹ Requests for alternative use of electric resistance heating equipment in any common area may be considered by NYSERDA but requests will only be considered under very limited circumstances, and only when solutions which are allowed would not be economically feasible. It is the proposer’s sole responsibility to justify the value of this consideration.

If the proposed alternative methods negatively impact the energy savings projected to be achieved in the dwelling unit(s), an economic analysis must be submitted that includes the cost, savings and return on investment for compliance with the requirement, and the proposed alternative. The project must still meet the minimum ENERGY STAR Reference Design HERS Index Target assigned to the project, calculated through use of RESNET-approved Rating software inclusive of the proposed alternative methods.

4.7 Gut-Rehabilitation of Historic Buildings

Historic buildings, as defined in the relevant energy code, need not comply with other sections of that code. To the greatest extent possible under the restrictions that may have been imposed by the historic governing authority, and while considering what is technically feasible or economically justified, the projects must strive to meet all performance requirements in section 4, as well as ENERGY STAR certification, to maximize the energy savings that will be achieved. LR NCP requires Tier 1 projects to meet the ENERGY STAR v3.0 Reference Design HERS Index Target as calculated through use of RESNET-approved Rating software. LR NCP requires projects seeking Tier 2 or Tier 3 incentives to meet the ENERGY STAR v3.1 Reference Design HERS Index Target as calculated through use of RESNET-approved Rating software. Relief from these requirements can be requested through a waiver request as detailed in Sections 4.6.2. Eligibility for relief will be considered on a case by case basis.

5 PROJECT STAKEHOLDER REQUIREMENTS

5.1 Requirements for Applicants of Multi-Unit/Multifamily, Tier 3 and Gut-rehab Projects

To participate and access LR NCP benefits, Applicants of multi-unit and multifamily projects, of projects intending to seek Tier 3 incentives, or of gut-rehab projects must engage with a qualified builder. To be qualified, the builder must become an active partner of the EPA's ENERGY STAR Certified Homes Program. The Builder and Rater must work cooperatively to verify compliance with the LR NCP requirements. The RESNET-accredited Provider and their affiliated Rater shall serve as the Builder's primary source for technical support and guidance regarding this Program, the EPA's ENERGY STAR Certified Homes program and any Home Energy Rating delivered with Program support. Incentive commitments to multi-unit, multifamily, Tier 3 and gut-rehab projects will be made for the duration of design, construction and verification of the project, as agreed to as the completion date in the project award letter.

Following completion of the project, the Applicant must provide NYSERDA or its designees access to the electricity, fuel, and water consumption data for the entire common area and a representative sample of the dwelling units as outlined in the Data Release Authorization Form (DRAF) following the building(s)' receipt of a Certificate of Occupancy.

5.2 Requirements for Applicants of Tier 2 Single-Family Homes

Applicants of Tier 2 single-family homes must engage with a qualified builder. To be qualified, the builder must become an active partner of the EPA's ENERGY STAR Certified Homes Program. The Builder and Rater must work cooperatively to verify compliance with the LR NCP requirements. The RESNET-accredited Provider and their affiliated Rater shall serve as the Builder's primary source for technical support and guidance regarding this Program, the EPA's ENERGY STAR Certified Homes program and any Home Energy Rating delivered with Program support.

Applicants of Tier 2 single-family homes may submit project applications for individual homes, or may submit one (1) project application for multiple single-family homes (each home identified in the project application as an individual site) which will be built within a twelve-month period. NYSERDA will make

incentive commitments to Tier 2 single-family homes on an annual basis, any homes not completed within twelve months of the original commitment will be required to submit a new project application.

5.3 Requirements for Home Energy Ratings

In addition to meeting all LR NCP requirements, all Home Energy Ratings must meet the following:

- Home Energy Ratings must be completed in accordance with RESNET's "Mortgage Industry National Home Energy Rating System Standards" including updates as adopted by RESNET's Board of Directors;
- Home Energy Ratings must be completed in accordance with the EPA's ENERGY STAR Certified Homes program technical standards and requirements, including completion of all relevant checklists; and
- A registered Home Energy Rating Certificate (HERC) must be generated by the Rater for the confirmed Home Energy Rating whenever Program incentives will be sought for that dwelling unit. The Builder shall cooperate with the Rater to ensure appropriate access is provided, allowing the Rater to view the dwelling unit during all relevant stages of construction, to ensure the dwelling unit's as-built construction is accurately reflected on the HERC. The HERC, generated by the Rater with support from Rater's RESNET-accredited Provider, must reflect the dwelling unit's condition when the confirmed Home Energy Rating is performed, and must include the auto-generated output to confirm compliance with the relevant version of Energy Conservation Construction Code of New York State.

5.4 Requirements for RESNET-Accredited Providers

5.4.1 Quality Assurance/Quality Control

The Provider's Quality Assurance (QA) Plan, which complies with RESNET's QA requirements as well as all Program requirements, must include the following, and be available to NYSERDA upon request:

- Description of the Provider's sampling methodology used to establish on-site inspection activities, including frequency of visits for each affiliate Rater's projects;
- Site inspection, documentation, and reporting protocols;
- Sample on-site inspection report, and copies of all standard forms;
- Protocol for review and approval of any submission by affiliate Raters regarding deviation from RESNET, EPA, or Program standards or requirements, in particular to accommodate perceived conflicts with NYS or local building code;
- Protocol to ensure all Home Energy Ratings performed in New York State by affiliate Raters are reported to the Provider, NYSERDA, and the EPA, whenever ENERGY STAR labeling, Program support, or Program incentives are sought;
- Dispute resolution policy;

In addition to the one percent on-site field evaluation required by RESNET, Providers must perform RESNET compliant on-site field evaluations of their affiliate Raters at the minimum additional rate of two percent, to achieve a combined three percent on-site field evaluation of all confirmed Home Energy Ratings completed annually with Program support. If the number of required field QA inspections exceeds the number of units available for field QA as per RESNET requirements (903.4.2.4 through 903.4.2.4.2.3 of the RESNET Standards – Advisory Version), one field QA per every 33 units of multifamily development shall count toward the annual field QA requirement quota after all units available for field QA as per RESNET requirements are included. Tier 2 projects shall always be prioritized over Tier 1 projects for on-site field evaluations. Additionally, one percent of all on-site field evaluations shall be performed on Tier 3 projects when available. In accordance with the RESNET

Standards, round up to the next whole number when the percentage calculation yields a decimal point when determining the number of on-site evaluations to complete for a rater (E.g. 101 homes x 3% = 3.03 means that 4 on-site evaluations shall be completed). At minimum, one on-site field evaluation per year will be completed for each affiliate Rater with the following exceptions: The Provider's affiliate Raters who do not perform Home Energy Ratings in New York State but serve the Provider in another capacity in New York State, such as their QA Designee or QA Designee Delegate, are exempt from the minimum on-site QA requirement.

5.4.2 Monthly Reports

NYSERDA, or its Designee, shall identify the dwelling units that have been successfully submitted for a project incentive payment at the end of each reporting period. The Provider shall submit a Monthly Report identifying rating activity by affiliate Rater(s), QA/QC activity completed by the Provider in the immediately preceding or previous reporting period(s).

The modeling software or data output files associated with each confirmed Home Energy Rating must be submitted for each dwelling unit identified by NYSERDA or its Designee. The software file's naming convention as directed by NYSERDA must reference the dwelling unit's address, be saved into a .zip format, and be uploaded to NYSERDA's portal saved as a deliverable to the associated project's Task Work Order, coincident with submission of the Monthly Report. Quarterly submissions of modeling software or data output files may be permitted (submission in March, June, September and December) if the Provider's monthly submission is less than 10 units.

Monthly Reports must be submitted in the NYSERDA-approved format, and include the following information:

- A list of all fully certified Raters and Certification-in-Process Home Energy Raters (CIP Raters) currently affiliated with the Provider and providing services in New York State;
- All supervised Ratings completed by affiliate CIP Rater(s) during the previous month must be listed by home address, identifying the CIP Rater, the Provider's supervisory staff member, the date the supervised Rating occurred and, if applicable, the Builder or Developer, and the project's status in the Program;
- All confirmed Home Energy Ratings completed during previous month must be listed by home address, identifying the affiliate Rater, Builder or Developer, date of the Confirmed Rating, Home Energy Rating System (HERS) Index, any participation in other NYSERDA programs, if known, and the affiliate Rater's and Provider's summarized observations regarding concerns or cause(s) for non-compliance;
- All RESNET and Program Field and File QA inspections conducted during the previous month must be listed by home address, identifying the affiliate Rater, Builder or Developer, date of inspection, QA inspector's name, HERS Index and shall include a detailed narrative of observations including compliance, remediation, as well as concerns or cause(s) for non-compliance;
- Activities or actions taken as a result of deficiencies uncovered during field QA inspections should be identified in the Monthly Report, including:
 - Technical support provided to the affiliate Raters by the Provider;
 - Dispute resolution activities associated with any issues identified during the reporting period, unresolved issues identified during previous reporting period(s), and the process for achieving satisfactory resolution of either shall be clearly identified;
 - Field inspection reports for activities completed during the reporting period, demonstrating that the Provider's QA inspection activity levels satisfy the required percentage based on final Ratings submitted;

5.4.3 Home Energy Rating Certificates

A Home Energy Rating Certificate (HERC), must be generated by the Provider for the confirmed Home Energy Rating of every dwelling unit through use of NYSERDA-approved RESNET-accredited software which has the capability to evaluate and auto-generate reports including indication of compliance with the relevant version of the Energy Conservation Construction Code of New York State (ECCCNYS). www.resnet.us/programs/software/directory.htm provides a list of RESNET-accredited software. The HERC must reflect the results of the confirmed Home Energy Rating and the heading must identify it as a Confirmed Rating. The Provider shall provide a copy of the HERC to the Builder for every confirmed Home Energy Rating; The HERC shall indicate that the home, or dwelling units for multi-unit buildings, complies with the applicable version of the Energy Conservation Construction Code of New York State.

5.4.4 Building File Upload

The Provider is required to submit complete modeling software files or data output files associated with each Home Energy Rating to NYSERDA for every dwelling unit served by an affiliate Rater, if Program incentives will be sought. NYSERDA or its Designee will provide reasonable technical support to assist the Provider's fulfillment of these modeling software or data output file submission requirements.

5.4.5 Sampling

Sampling protocols may be applied by a Rater if their affiliate Provider is a RESNET-accredited Home Energy Sampling Provider, and must comply with protocols specified in Chapter 6 of the RESNET Standards. If sampling is utilized on a project, the data associated with the sampled units must be included within the deliverables submission and include a description of the sampling controls that were inspected and/or tested for, the unit type breakdown, and the sampling rate of each type of unit. Sampling is not allowed for any required health and safety testing.

5.4.6 Coordination with ENERGY STAR Builders

The Provider shall ensure that the affiliate Rater coordinates with any ENERGY STAR Builder to affirm the Applicant's project deliverables associated with confirmed Home Energy Ratings are complete and accurate. To be eligible to receive any Program incentives associated with that dwelling unit, submission of the project deliverables in NYSERDA's portal must be made within sixty (60) days of the affiliate Rater's confirmed Home Energy Rating. Exception to this sixty (60) day limitation: project deliverables for multi-unit projects should be submitted in accordance with the NYSERDA-approved completion schedule, and with NYSERDA's commitment letter for the project.

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."

Low-rise Residential New Construction Program

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.nysesda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain 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 application 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 approximately four (4) weeks from the receipt of a complete application as to whether the 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.

7 ATTACHMENTS

- Attachment A – LR NCP Terms and Conditions
- Attachment B – Owner Data Release Authorization Form
- Attachment C – Tenant Data Release Authorization Form



Clean Heating and Cooling Community Campaigns

Program Opportunity Notice (PON) 3723

Up to \$1.3 Million Available

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

Proposals Due: January 17th, 2018 by 5:00 PM Eastern Time

Program Summary: This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3723, 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 \$1.3 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](#) [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 program manager Wendy MacPherson (Designated Contact) at (518) 862-1090, ext. 3553 or by e-mail wendy.macpherson@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 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

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 Campaign Proposal (required)
 - Multiple awards of up to \$150,000 each
- Category B: Workforce development and training Proposal (optional)
 - Multiple awards of up to \$50,000 each
- Category C: LMI household participation (optional)
 - One award of up to \$300,000

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.

NYSERDA will provide direct financial support for multiple Communities to launch multi-year campaigns to select qualified installers and negotiate a reduced price for campaign enrollees. NYSERDA will also offer 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. NYSERDA will provide a Technical Assistance Contractor, in addition to providing template documents for RFPs, installation best practices, and marketing.

NYSERDA will provide a Technical Assistance Contractor through [RFP 3751](#) to selected Communities for advice and guidance in installer selection and to 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. , in addition to providing template documents for RFPs, installation best practices, and marketing.

NYSERDA will provide a Technical Assistance Contractor for installer selection and to 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.

NYSERDA will provide 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 December 7, 2017 at 10 AM EDT (Albany, NY time). On the webinar, NYSERDA will review PON 3723 and proposal requirements. Proposers who intend to participate must register [here](#) by 12:00 EDT on December 1, 2017.

II. Program Requirements

Eligibility

The community where the campaigns will be launched must be a county, city, town, borough or region in New York State outside of Long Island with at least 40,000 residents.

Eligible proposers

- Community based organizations (CBO)¹
- 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 higher education institution which could include a 2- or 4-year, public or private college or university
- Local utilities

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 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

¹ 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.

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 renewable 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,² 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 renewable heating and cooling system.

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

- promoting NYSERDA and utility energy efficiency audit and incentive programs;³
- selecting building science professionals⁴ to work with CH&C installers to provide comprehensive energy assessments to identify opportunities to improve the overall efficiency of the building;

² 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.

³ Including the NYSERDA Home Performance with ENERGY STAR and Multifamily Performance Programs, as well as appliance and equipment rebates from utilities.

⁴ NYSERDA works with a network of certified residential and commercial contractors and engineering firms that provide comprehensive energy assessments and engineering studies

- 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 renewable 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 evaluate qualified installer's 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 Strategy

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, 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 partners' qualifications and experience in workforce development and training.

Preference will be given to 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, 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 BOCES, with HVAC Certification programs to coordinate apprenticeships with CH&C technology installers.
- 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-incomes⁵ and more than 2.3 million of these households have annual incomes below 60 percent of the state median income (SMI) and are eligible for energy bill payment assistance and no-cost energy efficiency and weatherization services. The financial burden of paying monthly energy bills can leave low- to-moderate-income New Yorkers stretching every dollar. A low-income household's energy burden⁶ 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 opportunities⁷ to participate in

⁵ 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.

⁶ A household's energy burden is defined as the ratio of energy costs to income.

⁷ 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

their energy future by enabling the deployment of distributed energy resources (DER)⁸, 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 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, one award of up to \$300,000 may be made to the Community that proposes the most effective way 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 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.

Possible examples of possible pilot projects to increase participation of LMI households include:

- 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.

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.

⁸ DER is used to describe a wide variety of distributed energy resources, including end-use energy efficiency, demand response, distributed generation, and distributed storage.

- Identify opportunities to offer CH&C technologies as a long-term solution for households that typically rely on energy assistance programs such as HEAP.
- Develop a pilot for one or more mobile home parks without access to natural gas to address air sealing and install heat pumps.
- Test the affordability impacts of the incorporation of CH&C technologies as supplemental heat.
- Offer additional financial support with upfront costs of RH&C technologies for LMI households.

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 it's 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.

Higher Education Institutions

Proposers are encouraged to partner with a local higher 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 higher education institution faculty as campaign enrollees. Proposers teaming with a higher 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 RHC 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.

Available Funding

Up to \$1.3 Million is available through this PON⁹, consisting of:

Category A: Up to \$750,000 (multiple awards, up to \$150,000 each) for campaign support to fund up to Communities for commitments of two to five years.

Category B: Up to \$250,000 (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 \$300,000 for the Community that proposes the most effective strategy to increase LMI participation in the campaign.

III. Proposal Requirements

Category A:

Proposal Element	Description
Summary	Describe how you would run an effective Community campaign.
Approach	Describe your approach to technology selection and which technologies the Community plans to include in the first campaign.

⁹ NYSERDA reserves the right to add to or reduce the term and/or funding to awards.

	<p>Indicate how many years of campaigns the proposer is committing to run using this funding.</p> <p>Describe how the Community will leverage existing Solarize infrastructure.</p> <p>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.</p> <p>Describe how building shell (insulation and air sealing) components will be addresses in the campaign</p>
Community and Project Team	<p>Indicate the factors that increase the likelihood of success in the target community such as:</p> <ul style="list-style-type: none"> • 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 <p>Provide a list of all team members including: each member's roles and responsibilities in developing the proposal and implementing the project.</p> <p>Resumes of key individuals.</p>

	<p>The value and skills each member brings to the team and how their participation on the team strengthens the overall project.</p> <p>Designate a team lead who will be responsible for deliverables and outcomes.</p> <p>Each team member's existing NYSERDA contracts and commitments (if any)</p>
Project Impact	<p>Describe anticipated enrollments and installations as a result of the campaign(s).</p> <ul style="list-style-type: none"> • 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. <p>Note: A spreadsheet is acceptable but should include a narrative.</p>
Project Plan	<p>Provide a project implementation plan that includes a timeline and budget.</p> <p>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.</p> <p>Include answers to the following:</p> <ul style="list-style-type: none"> • 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.
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Category B:

Proposal Element	Description
Workforce development and training Strategy	<p>Proposers should include a workforce development and training component in their proposal. The workforce development and training proposal should indicate:</p> <ul style="list-style-type: none"> • 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. <p>Proposers should provide a separate budget for this proposal element as described above.</p>

Category C:

Proposal Element	Description
LMI Pilot Proposal	<p data-bbox="867 405 1398 548">Develop a plan or series of strategies intended to target and increase the participation of the LMI residents within community campaigns.</p> <p data-bbox="867 581 1227 615">The LMI proposal should:</p> <ul data-bbox="867 653 1409 1801" style="list-style-type: none"><li data-bbox="867 653 1409 795">• Characterize the LMI residents in the Community (e.g. how many LMI households there are, what fuels they use to heat their homes, etc).<li data-bbox="867 833 1409 1192">• 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.<li data-bbox="867 1230 1409 1297">• Explain how income eligibility will be determined.<li data-bbox="867 1335 1409 1444">• Include expected outcomes such as increased enrollment and increased installations by LMI residents.<li data-bbox="867 1482 1409 1549">• Present a plan for measuring and verifying success.<li data-bbox="867 1587 1409 1801">• 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.

	<ul style="list-style-type: none"> • 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. <p>Proposers should provide a separate budget for this proposal element as described above.</p>
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Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The proposal must be in the following format:

- Section 1: Introduction and General Information and Synopsis (up to 2 pages)
- Section 2: Describe Approach (2-6 pages)
- Section 3: Identification of Project Team (1-2 pages)
- Section 4: Identify Challenges and Barriers to a Community Campaign (1-2 pages)
- Section 5: Project Plan (1-2 pages)
- Section 6: Optional Workforce development and training Strategy (2-4 pages)
- Section 7: Optional LMI Pilot Proposal (2-4 pages)
- Section 8: Qualifications (1-2 pages)
- Section 9: 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 Property Assessed Clean Energy (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 the timing of the proposed plan appropriate and effective?
- Will the proposed plan provide clear and measureable benefit to the Community campaign?
- Is the budget well-justified and appropriate?

Category C: LMI 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 – Budget

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



Entrepreneurs-In-Residence Program
Program Opportunity Notice (PON) 3819
\$4,000,000 Available

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

Proposals Due: May 2, 2018 by 5:00 PM Eastern Time*

Program Summary: This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3819, Entrepreneurs-In-Residence Program, seeks proposals from organizations interested in administering the NYSEDA Entrepreneurs-In-Residence Program. The goal of the NYSEDA Entrepreneurs-In-Residence (NEIR) Program is to support early-stage clean energy companies that are developing and commercializing products that will benefit New York State. This is accomplished through the deployment of highly experienced mentors, who are also known as Entrepreneurs-In-Residence (EIRs) and typically are experienced entrepreneurs or senior executives. EIRs in the NEIR program provide advice, mentoring, and a limited amount of consulting, primarily on a project basis. This solicitation is to select the program administrator that will provide general administrative oversight and management of the NEIR program, including but not limited to, developing and controlling agreements between the parties, disbursing payments to EIRs, curating opportunities for networking and program growth, and administering reporting and tracking of companies served through the NEIR program. Funding will be provided to pay for EIR time and for program administration. Up to \$4,000,000 of NYSEDA funding is available through this PON. Awarded contract(s) will be for an initial term of four years with one, one-year option to renew. All, some, or none, of the available funds may be awarded through PON 3819. NYSEDA reserves the right to add or reduce time and/or funding to awarded contract(s).

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. NYSEDA 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 NYSEDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Steven Wolk (Designated Contact) at (518) 862-1090, ext. 3021 or by e-mail steve.wolk@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 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

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 like customers and corporate/strategic partners.

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

NYSERDA founded its Entrepreneurs-In-Residence (EIR) Program in 2010 to foster the viability and growth of the state's most promising clean energy companies by providing ready access to world-class mentors and advisors. From March 2010 through December 2017 NYSERDA's Entrepreneur-in-Residence program had the following impacts:

- Revenue generated by client companies mentored: over \$12,000,000
- Private capital raised (debt and equity) by client companies mentored: more than \$29,000,000
- Non-NYSERDA grants awarded to client companies mentored: nearly \$13,000,000

This PON is a continuation and expansion of the successful NYSERDA Entrepreneurs-In-Residence (NEIR) Program. NYSERDA continues to observe a need for executive mentoring and management advice for startup, seed, and early-stage clean energy companies in New York State to help them gain viability, grow their business, create revenues and employment, and commercialize clean energy products. Such businesses include, but are not limited to, businesses that are served through existing NYSERDA initiatives, including product development programs, clean energy business development programs, incubator and business assistance programs, and others. Mentoring networks and EIR-focused programming have been an effective means of providing a broad range of high-level strategic advice and assistance to early-stage companies and their executives, at a risky stage of their development. Frequently these services are enhanced by engagement with other parts of the innovation ecosystem, including



business incubators, research laboratories, service providers, investors, development partners, and other network contacts. The outcomes of such advice and assistance are more robust companies with stronger business models that are better equipped to bring their energy-related technology to market, raise capital, and create jobs.

II. Program Requirements

Eligibility and Proposer Requirements

All entities, both for-profit and not-for-profit, are eligible to apply. The proposed mentoring services must be delivered to companies that are served through existing NYSERDA programs, and any resultant economic benefits must accrue to New York State.

This solicitation is for proposals to administer the existing NYSERDA Entrepreneurs-In-Residence (NEIR) Program. 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 primarily be based within the state.

Proposers will be evaluated on their ability to administer the NEIR program and capacity to achieve the following key outcomes:

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

Proposers should be able to provide illustrative examples of clean energy and advanced technology companies that have directly benefited from their mentoring and/or matchmaking 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.

Available Funding and Cost Sharing

Up to \$4,000,000 of NYSERDA funding is available through this PON. All, some, or none, of the available funds may be awarded through PON 3819. 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

Proposers are asked to submit proposals for administering the NEIR program, which will provide mentorship and matchmaking support to companies in the clean energy space. Such companies may range from concept-stage companies and startups to revenue-producing companies that require additional



development to accelerate the commercialization of new products. Proposers are expected to develop models that leverage their institutional resources and regional assets while also utilizing national best practices from leading EIR and other related mentoring programs. To be selected for funding, proposals must outline strategies for how they will address and execute on the following key program activities:

1) Review and Matching

The primary work of the company review and matching side of the NEIR program is to utilize highly experienced individual(s) and/or organization(s) to interview companies by telephone or in-person to diagnose and understand the level of need for an EIR. The contractor is then responsible for matching eligible companies with certified NYSERDA EIRs who can provide mentoring in the area(s) identified through the contractor's assessment.

The current program has a roster of over 40 certified NYSERDA EIRs, a number that is believed to be sufficient to provide the quantity and level of service required to the current population of companies engaged through the NEIR program. Although turnover in the EIR roster has traditionally been minimal, it is expected that new EIRs will need to be added over the period of the contract to replace EIRs that are no longer certified as well as to add different areas of expertise to the program or for other reasons. The contractor awarded under this PON will be expected to maintain a roster of qualified EIRs that meet NYSERDA's established criteria for certification. This will include maintaining, organizing, and possibly electronically publishing individual biographical information as well as recruiting and screening EIRs, including individuals suggested by NYSERDA and partner organizations.

2) Administration

The administration side of the NEIR program is responsible for maintaining the database of EIRs and all engagements as well as ensuring all paperwork, including legal contracts and invoices between the contractor and EIRs are tracked and dealt with in a consistent and timely manner.

The contractor will be required to collect, maintain, and report information on client company outcomes. Client company outcomes may include progress toward commercialization, investment, sales, hiring, and other data that are in part attributable to NEIR program support. The contractor will also be expected to arrange provision of appropriate EIR services exclusively to certain companies served through existing NYSERDA programs.

The contractor will work with NYSERDA to maintain policies and procedures necessary to operate the NEIR program, including those relating to managing conflicts of interests, payments and charges by clients, termination and continuation of NYSERDA support of the EIR-client engagement, and reporting on the outcomes of such engagements. NYSERDA's competitive procurement requirements will also be enforced. The contractor will be required to work with NYSERDA to test and roll-out new NEIR-based initiatives that support the goals of the NEIR program.

The Administrator will also be required to maintain and publish a website or web pages with a library of resources that can be utilized by clean energy companies to obtain necessary attributes for success, with such attributes having been identified and updated by NYSERDA and partner organizations.

Figure 1. Tasks and Responsibilities*

	<u>Tasks</u>	<u>Review and Matching</u>	<u>Administration</u>	<u>Payment to Contractor based on Transaction</u>
1	Respond to inbound inquiries from incubator managers, NYSERDA staff, client company management, and others	X	X	
2	Track various requests for an EIR	X		
3	Set up time to discuss request for an EIR with client company	X		
4	Discuss / review request for an EIR with client company	X		X
5	Track decision to provide an EIR (or not) and rationale	X		
6	Inform requestor and/or company of decision on request and if "yes" inform of goals	X		
7	Recommend 3 potential EIRs for company (or re-recommend if all rejected)	X		
8	Send communication to rejected EIRs and make note in the database which EIRs accepted / rejected		X	

9	Send communication to accepted EIR and company informing of next step (SOW development) based on needs developed in review	X		
10	Review SOW and approve / disapprove	X		
11	Place accepted SOW in electronic location available for review by contractor and NYSERDA	X		X
12	Send non-disclosure agreement, contract, and conflict-of-interest agreement, and workers compensation waiver to EIR		X	
13	Receive and log required paperwork		X	
14	Log information about engagement into tracking sheet	X		
15	Send separate "How is it going" surveys questions to client company and EIR		X	
16	Follow up based on the survey if serious problems exist	X		

17	If necessary, end engagement early or reassign to a different EIR	X	X	
18	Re-survey after engagement is complete and track results		X	X
19	Ensure EIR payments are tied to specific milestones in SOW		X	
20	For EIR invoices, ensure there are enough days remaining (not overbilling)		X	
21	If change to SOW is proposed by EIR, ensure it is valid	X		
22	Track explanation and new SOW from EIR if adjustment from previous SOW is required		X	
23	Log EIR invoices into tracking sheet		X	
24	Pay EIR invoices		X	
25	Send monthly invoice to NYSERDA		X	
26	Recruit EIRs as needed (with NYSERDA approval)	X		X
27	Communicate EIR services to incubators, proof-of-concept centers, and other NYSERDA	X		X

	innovation assets-including on-site visits			
28	Help implement new EIR services at appropriate rates	X	X	X
29	Work with NYSERDA to review and modify rules on selection of client companies eligible to receive EIR services (as needed)	X		
30	Interview EIRs for re-certification (as needed)	X		X
31	Post and maintain resource library on website		X	
32	Post and maintain EIR biographies on website		X	
33	Perform annual survey to determine satisfaction of client companies and EIR		X	
34	Perform biannual metrics tracking of client companies and graduates for the following outcomes: investment, revenue, jobs, and products commercialized		X	



35	Create report based on annual survey		X	
36	Hold biannual EIR Meetings and attend NYSERDA meetings as necessary	X	X	

* This is meant to be a detailed, representative list of potential tasks and responsibilities for the contractor(s) awarded through this PON. This is not an exhaustive list of all possible tasks and responsibilities. NYSERDA reserves the right to modify any awarded contract(s) to add or remove tasks and responsibilities over the course of a project.

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 four years with one, one-year option to renew.

Letters of Commitment or Interest

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

Potential Conflicts of Interest

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

Other Considerations

In addition, proposers should note that:

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



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

III. Proposal Requirements

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

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

Procurement Lobbying Requirements

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

Proposal Narrative

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

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

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

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 C, and may also be asked to address specific questions or recommendations of the Scoring Committee prior to any contract award.

Requirements

A negative response to any one of the questions below may significantly reduce the score of a proposal. Does the proposal:

- Communicate a clear and specific understanding of startups and preferably early-stage clean energy companies, the challenges they face, and how expert mentors can be applied to help them overcome challenges.
- Provide evidence of an ability to “triage” a startup company in a short amount of time to identify critical challenges facing the company where the company may not have the skills to face the challenges on their own.
- Provide evidence of experience with the administrative portion of the program, including providing a high level of customer service to multiple types of “customers”, administering funding and managing a multi-million-dollar budget, tracking legal requirements, monitoring project success, and other duties as outlined in this solicitation.
- Show that the organization has the skills and desire to “sell” the services of the program to entities within New York State’s innovation ecosystem, including incubators, accelerators, proof-of-concept centers, 76West, Manufacturing Corps, and others.
- Show an ability to evaluate the competence and NEIR program fit of a prospective EIR.
- Provide examples of experience planning and executing pilot initiatives to help startup companies, working with a partner(s) to understand strengths and weaknesses of said pilot programs, and adjusting initiatives based on feedback.
- Show that proposer has the experience and skills to plan and host an offsite event / workshop with at least 50 participants.

Evaluation Criteria in Order of Importance

Proposed Solution/Scope

- Does the proposed project define a clear and compelling value proposition and model that is validated with customers (clean energy companies) and EIRs (mentors)?
- Does the proposed project provide a strategy for collaboration with multiple stakeholders?
 - Is the work strategy sound? Can the strategy be tested, measured, and adjusted with ease?
- How effective and efficient is the administration of the program likely to be?
- How effective is the proposer likely to be in attracting or developing EIRs who can mentor early-stage companies in NYSERDA’s portfolio?
- Will the proposer understand the requirements of client companies and effectively match client companies to EIRs for valuable engagements?
- How effective is the proposer likely to be in systematically recording and reporting program outcomes, and identifying lessons to be learned from the experience of the projects?

- How effective is the proposer likely to be in appropriately engaging other stakeholders in the clean energy and broader innovation ecosystem in New York State?
- How effective is the proposer likely to be in managing the program to achieve positive outcomes for startup companies?
- How effective will the proposer be at helping pilot new related initiatives to expand the program and develop new related processes and pricing models?
- How much value do any events or special projects deliver to client companies, the NYSERDA EIR program, or to the clean energy innovation ecosystem in New York State?

Project Benefits

- Does the proposed project have a strategy or methodology for measuring and tracking environmental and economic benefits related to engagements and the products being developed by mentored companies?
- Will a significant part of the work take place in New York State?

Project Team and Support

- How experienced is the team in understanding startup companies and especially those in clean-tech?
- How experienced is the team in providing robust and accurate administrative tracking, billing and reporting services?
- Has the proposing team developed the administrative infrastructure necessary to operate the NYSERDA EIR program, or has it developed something similar?
- Are individual project managers experienced, qualified and committed?
- Does the team have a history of providing quality customer support?

Market Potential

- Does the proposed project address a current challenge or opportunity in the market that is not being addressed by others?
- Does the proposed project clearly identify the clean energy sector(s) and company development stage(s) that it is looking to target?
- Is there a process or strategy in place to measure progress and success?

Project Value

- How efficient are fixed costs as the program scales?
- Are milestone costs in-line with the service that will be provided?
- Are proposed milestones and deliverables appropriate? Are proposed payments appropriate relative to the value of the milestones?
- Are metrics appropriate and valuable for assessment of the program? Is the plan to report these metrics adequate?
- How aligned to the goals of the NYSERDA EIR program are proposed special projects or events, if any?

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 the applicant has the resources (human and financial) to be able to complete the project.
- 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).

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 award under this solicitation. NYSERDA anticipates a contract duration of four 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 NEIR program 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 NEIR program 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 - Sample Agreement



NYSERDA

- Attachment C - Instructions for Electronic Proposal Submission
- Attachment D - Sample Web Addendum





**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 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.

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.

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

¹ NYSERDA reserves the right to evaluate eligibility of other non-electric fuels.

- 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: Megan Fisher, 866-NYSERDA ext. 3627, megan.fisher@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 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 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

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
Downstate	Consolidated Edison Company of New York, Inc.	X
Upstate	Central Hudson Gas & Electric Corporation	X
	National Grid Generation d/b/a National Grid	X
	New York State Electric & Gas Corporation	X
	Orange and Rockland Utilities, Inc.	X
	Rochester Gas and Electric Corporation	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:

- Consolidated Funding Application (CFA): <http://www.nyserderda.ny.gov/Funding-Opportunities/Consolidated-Funding-Application.aspx>
- 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
- Current and complete utility bill documenting the SBC
- Proposed equipment specification sheets and/or additional supporting Project information or eligibility criteria, if applicable
- Preliminary calculations of the anticipated energy savings
- 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

² Applications may be referred to a utility program if deemed appropriate.

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 NYSEERDA Technical Consultant who provides support to Facilities throughout the process. Following receipt of a complete application, NYSEERDA and NYSEERDA'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 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 NYSEERDA 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 NYSEERDA's review and approval of the EA, NYSEERDA 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 NYSEERDA 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 NYSEERDA's Technical Consultant that the Project is complete and ready for a post-installation inspection.

Post-Installation

The Applicant, in coordination with NYSEERDA's assigned Technical Consultant, conducts a post-installation inspection, creates a Post Installation Report (PIR), and collects relevant Project documentation (including invoices) and any other remaining items for submittal to NYSEERDA. Upon approval of all final deliverables, NYSEERDA 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, NYSEERDA's Technical Consultant will develop an M&V plan in collaboration with the Applicant. 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 NYSEERDA. Depending on Project size, the Applicant may be required to perform M&V for a period up to two (2) years.
- **At NYSEERDA's discretion, M&V may be required or waived for any Project.**

When the M&V is complete, NYSEERDA reviews the results and releases the remaining incentive funds. NYSEERDA will pay up to 60% of the incentive upon installation and the balance after NYSEERDA 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 NYSEERDA for overpayment.

Determination of installation payment is at NYSEERDA'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 NYSEERDA as part of your proposal. Review should include whether it is critical for

evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information 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

New York State Energy Research and Development Authority (NYSERDA)

Clean Energy Communities Program

Guidance Document

Program Opportunity Notice (PON) 3298

APPLICATION DUE DATES

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



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INTRODUCTION

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

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

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

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

PROGRAM REQUIREMENTS

Eligible Applicants

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

Funding Levels

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

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

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

Application Process

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

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

STEP 1: BECOME A CLEAN ENERGY COMMUNITY

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

STEP 2: ACCESS GRANT FUNDING

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

STEP 1: BECOME A CLEAN ENERGY COMMUNITY

Complete Four of Ten High-Impact Actions

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

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

The High-Impact Actions include:

1. Benchmarking

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

2. Clean Energy Upgrades

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

3. LED Street Lights

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

4. Clean Fleets

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

5. Solarize

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

6. Unified Solar Permit

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

7. Energy Code Enforcement Training

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

8. Climate Smart Communities Certification

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

9. Community Choice Aggregation

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

10. Energize NY Finance

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

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Benchmarking

Applicable to All Communities

Rationale

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

Requirements

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

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

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

Benchmark

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

Report

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

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

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

Recommendations

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

Resources

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

Rationale

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

Requirements

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

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

Recommendations

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

Resources

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

3

LED Street Lights

Applicable to All Communities

Rationale

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

Requirements

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

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

Recommendations

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

Resources

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

4

Clean Fleets

Applicable to All Communities

Rationale

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

Requirements

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

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

OR

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

Recommendations

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

Resources

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

Rationale

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

Requirements

Demonstrate completion of the Solarize action as follows:

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

OR

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

Recommendations

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

Resources

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

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Unified Solar Permit

Applicable to All Communities that Issue Building Permits

Rationale

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

Requirements

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

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

OR

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

Recommendations

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

Resources

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

Energy Code Enforcement Training

Applicable to All Communities that Issue Building Permits

Rationale

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

Requirements

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

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

Recommendations

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

Resources

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

Climate Smart Communities Certification

Applicable to All Communities

Rationale

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

Requirements

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

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

Recommendations

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

Resources

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

Rationale

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

Requirements

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

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

Recommendations

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

Resources

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

Rationale

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

Requirements

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

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

Recommendations

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

Resources

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

STEP 2: ACCESS GRANT FUNDING

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

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

Eligible Project Types

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

Ineligible Project Types

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

Proposal Requirements

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

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

Selection Criteria

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

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

Project Benefits Metrics Report

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

GENERAL CONDITIONS

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

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

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

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

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

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

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

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

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

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

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

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

Contract Award

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

Limitation

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

Disclosure Requirement

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

Disclaimer

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

Additional Resources

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



Clean Heating and Cooling Community Campaigns

Program Opportunity Notice (PON) 3723

Up to \$1.3 Million Available

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

Proposals Due: January 17th, 2018 by 5:00 PM Eastern Time

Program Summary: This New York State Energy Research and Development Authority (NYSEDA) Program Opportunity Notice (PON) 3723, 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 \$1.3 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. NYSEDA reserves the right to add or reduce the term and/or funding to awards.

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. NYSEDA 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 NYSEDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting program manager Scott Smith (Designated Contact) at (518) 862-1090, ext. 3344 or by e-mail scott.smith@nyserda.ny.gov, or program manager Wendy MacPherson (Designated Contact) at (518) 862-1090, ext. 3553 or by e-mail

wendy.macpherson@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 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

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 Campaign Proposal (required)
 - Multiple awards of up to \$150,000 each
- Category B: Workforce development and training Proposal (optional)
 - Multiple awards of up to \$50,000 each
- Category C: LMI household participation (optional)
 - One award of up to \$300,000

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.

NYSERDA will provide direct financial support for multiple Communities to launch multi-year campaigns to select qualified installers and negotiate a reduced price for campaign enrollees. NYSERDA will also offer 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. NYSERDA will provide a Technical Assistance Contractor, in addition to providing template documents for RFPs, installation best practices, and marketing.

NYSERDA will provide a Technical Assistance Contractor to selected Communities for advice and guidance in installer selection and to 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. , in addition to providing template documents for RFPs, installation best practices, and marketing.

NYSERDA will provide a Technical Assistance Contractor for installer selection and to 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.

NYSERDA will provide 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 December 6, 2017 at 10 AM EDT (Albany, NY time). On the webinar, NYSERDA will review PON 3723 and proposal requirements. Proposers who intend to participate must register [here](#) by 12:00 EDT on December 1, 2017.

II. Program Requirements

Eligibility

The community where the campaigns will be launched should be a county, city, town, borough or region with at least 40,000 residents.

Eligible proposers

- Community based organizations (CBO)¹
- 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 higher education institution which could include a 2- or 4-year, public or private college or university
- Local utilities

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 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

¹ 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.

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 renewable 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,² 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 renewable heating and cooling system.

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

- promoting NYSERDA and utility energy efficiency audit and incentive programs;³
- selecting building science professionals⁴ 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

² 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.

³ Including the NYSERDA Home Performance with ENERGY STAR and Multifamily Performance Programs, as well as appliance and equipment rebates from utilities.

⁴ NYSERDA works with a network of certified residential and commercial contractors and engineering firms that provide comprehensive energy assessments and engineering studies

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 renewable 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 evaluate qualified installer's 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 Strategy

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, 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 partners' qualifications and experience in workforce development and training.

Preference will be given to 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, 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 BOCES, with HVAC Certification programs to coordinate apprenticeships with CH&C technology installers.
- 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-incomes⁵ and more than 2.3 million of these households have annual incomes below 60 percent of the state median income (SMI) and are eligible for energy bill payment assistance and no-cost energy efficiency and weatherization services. The financial burden of paying monthly energy bills can leave low- to-moderate-income New Yorkers stretching every dollar. A low-income household's energy burden⁶ 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 opportunities⁷ to participate in their energy future by enabling the deployment of distributed energy resources

⁵ 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.

⁶ A household's energy burden is defined as the ratio of energy costs to income.

⁷ 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.

(DER)⁸, 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 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, one award of up to \$300,000 may be made to the Community that proposes the most effective way 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 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.

Possible examples of possible pilot projects to increase participation of LMI households include:

- 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 a HEAP.
- Develop a pilot for one or more mobile home parks without access to natural gas to address air sealing and install heat pumps.

⁸ DER is used to describe a wide variety of distributed energy resources, including end-use energy efficiency, demand response, distributed generation, and distributed storage.

- Test the affordability impacts of the incorporation of CH&C technologies as supplemental heat.
- Offer additional financial support with upfront costs of RH&C technologies for LMI households.

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 it's 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.

Higher Education Institutions

Proposers are encouraged to partner with a local higher 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 higher education institution faculty as campaign enrollees. Proposers teaming with a higher 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 RHC 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.

Available Funding

Up to \$1.3 Million is available through this PON⁹, consisting of:

Category A: Up to \$750,000 (multiple awards, up to \$150,000 each) for campaign support to fund up to Communities for commitments of three to five years.

Category B: Up to \$250,000 (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 \$300,000 for the Community that proposes the most effective strategy to increase LMI participation in the campaign.

III. Proposal Requirements

Category A:

Proposal Element	Description
Summary	Describe how you would run an effective Community campaign.
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.

⁹ NYSERDA reserves the right to add to or reduce the term and/or funding to awards.

	<p>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.</p> <p>Describe how building shell (insulation and air sealing) components will be addresses in the campaign</p>
Community and Project Team	<p>Indicate the factors that increase the likelihood of success in the target community such as:</p> <ul style="list-style-type: none"> • 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 <p>Provide a list of all team members including: each member's roles and responsibilities in developing the proposal and implementing the project.</p> <p>Resumes of key individuals.</p> <p>The value and skills each member brings to the team and how their participation on the team strengthens the overall project.</p> <p>Designate a team lead who will be responsible for deliverables and outcomes.</p>

	<p>Each team member's existing NYSERDA contracts and commitments (if any)</p>
<p>Project Impact</p>	<p>Describe anticipated enrollments and installations as a result of the campaign(s).</p> <ul style="list-style-type: none"> • 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. <p>Note: A spreadsheet is acceptable but should include a narrative.</p>
<p>Project Plan</p>	<p>Provide a project implementation plan that includes a timeline and budget.</p> <p>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.</p> <p>Include answers to the following:</p> <ul style="list-style-type: none"> • 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.
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Category B:

Proposal Element	Description
Workforce development and training Strategy	<p>Proposers should include a workforce development and training component in their proposal. The workforce development and training proposal should indicate:</p> <ul style="list-style-type: none"> • 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. <p>Proposers should provide a separate budget for this proposal element as described above.</p>

Category C:

Proposal Element	Description
LMI Pilot Proposal	<p data-bbox="867 403 1398 548">Develop a plan or series of strategies intended to target and increase the participation of the LMI residents within community campaigns.</p> <p data-bbox="867 579 1227 615">The LMI proposal should:</p> <ul data-bbox="867 653 1409 1801" style="list-style-type: none"><li data-bbox="867 653 1409 793">• Characterize the LMI residents in the Community (e.g. how many LMI households there are, what fuels they use to heat their homes, etc).<li data-bbox="867 831 1409 1192">• 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.<li data-bbox="867 1230 1409 1297">• Explain how income eligibility will be determined.<li data-bbox="867 1335 1409 1444">• Include expected outcomes such as increased enrollment and increased installations by LMI residents.<li data-bbox="867 1482 1409 1549">• Present a plan for measuring and verifying success.<li data-bbox="867 1587 1409 1801">• 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.

	<ul style="list-style-type: none"> • 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. <p>Proposers should provide a separate budget for this proposal element as described above.</p>
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Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The proposal must be in the following format:

- Section 1: Introduction and General Information and Synopsis (up to 2 pages)
- Section 2: Describe Approach (2-6 pages)
- Section 3: Identification of Project Team (1-2 pages)
- Section 4: Identify Challenges and Barriers to a Community Campaign (1-2 pages)
- Section 5: Project Plan (1-2 pages)
- Section 6: Optional Workforce development and training Strategy (2-4 pages)
- Section 7: Optional LMI Pilot Proposal (2-4 pages)
- Section 8: Qualifications (1-2 pages)
- Section 9: 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 Property Assessed Clean Energy (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 the timing of the proposed plan appropriate and effective?
- Will the proposed plan provide clear and measureable benefit to the Community campaign?
- Is the budget well-justified and appropriate?

Category C: LMI 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 - 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 up to awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 8 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

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 NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

VI. Attachments:

Attachment A – Budget

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



REAL TIME ENERGY MANAGEMENT (RTEM)

Program Opportunity Notice (PON) 3689

\$31 Million Available for Commercial RTEM

\$5.7 Million Available for Industrial RTEM

\$2.83 Million Available for Multifamily RTEM

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 June 30, 2021 by 5:00 PM Eastern Time

The New York State Energy Research and Development Authority (NYSERDA) Real Time Energy Management (“RTEM”) Program (the “Program”) promotes effective, energy-efficient solutions for commercial, multifamily, and industrial sites and processes for practitioners in the energy management software and services sector. To accelerate the adoption of RTEM practices, NYSERDA is offering cost-shared support for integrating RTEM systems and services into existing buildings and facilities. This Program works in conjunction with NYSERDA RFQ 3691 Real Time Energy Management (RTEM) Qualified Vendor. Only NYSERDA RTEM Qualified Vendors may be Applicants to this Program.

RTEM technology is the combination of building data collection systems (sensors, meters, equipment feeds) with data analytics and building data information services that can show building management the actual state of building performance at any point in time. Service providers then capture the discreet data such as set points, power loads, flow rates, temperature and humidity, and feed the information back to site operators with key insights about operations and systems to fine-tune and identify capital projects.

Within the Industrial sector, RTEM technologies are often referred to as Energy Management Information Systems (EMIS) – software systems that store, analyze, and display energy consumption data collected from sensors, equipment feeds, and meters. EMIS for the industrial market offers entities the means to monitor energy consumption data in real-time and to identify operational changes and capital projects that will increase efficiency. EMIS incorporate environmental and production variables for a more thorough, holistic analysis of efficiency opportunities than energy consumption data alone.

NYSERDA’s RTEM Qualified Vendor list consists of both RTEM System Providers and RTEM Service Providers. RTEM System Providers are defined as providers of the monitoring hardware and software used to extract, process, and store energy usage data. RTEM Service Providers are defined as consulting services that customers contract with to analyze the data from the RTEM system installation and provide, enable, and/or implement energy savings measures based on the data.

The Program offers cost-sharing for RTEM system implementation and services for up to five (5) years (see Program Incentives).



How to Apply:

RTEM Qualified Vendors with eligible projects can log on to <https://nyserdaportal.force.com/login> to complete an Application.

Building Owners and Managers in need of an RTEM Qualified Vendor can visit the NYSERDA list at <http://www.nyserda.ny.gov/Contractors/Find-a-Contractor/RTEM-Qualified-Vendors>.

RTEM questions should be directed to rtem@nyserda.ny.gov or Michael Reed (866-NYSERDA, ext. 3244). All Contractual questions should be directed to Nancy Marucci (866-NYSERDA, ext. 3335) or nancy.marucci@nyserda.ny.gov.

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

INTRODUCTION

NYSERDA's Real Time Energy Management (RTEM) Program (the "Program") is intended to accelerate market adoption of RTEM systems and services. Furthermore, the Program will help to identify and expand the industry's best practices for leveraging RTEM technologies. The Program will focus on how to efficiently extract and analyze data that enables customers to receive the full potential of RTEM benefits.

Research shows that customers who unlock their site's energy data, at the system level, make better energy related decisions than if they were to use only monthly utility bills. NYSERDA seeks to demonstrate the value of comprehensive monitoring and metering analytics, and the advantages gained by obtaining system level energy usage data. The Program seeks to illustrate how customers can use RTEM to maximize energy performance and processes, improve equipment/building optimization, and provide better informed capital investment recommendations. The RTEM Program, is available to commercial, industrial, and multifamily customers. Some Program rules vary based on the sector.

This solicitation is divided into the following components:

- Section II: Eligibility
- Section III: Program Incentives
- Section IV: Application Requirements & Approval Process Overview
- Section V: General Conditions
- Section VI: List of Attachments

Definitions:

- **RTEM systems** are the monitoring hardware and software used to extract, process, and store energy usage data.
- **RTEM services** are ongoing consulting services that customers contract with to analyze energy usage data and provide, enable, and/or implement energy savings measures, such as energy efficiency or renewable energy, based on the data.
- **Qualified RTEM Vendors:** Any RTEM system, RTEM service, or RTEM system and service vendor who has qualified as a NYSERDA RTEM vendor through the RFQ 3691 process. Vendors qualified under the previous RFQ 3164 are considered qualified RTEM vendors.
- **Applicant** is the qualified RTEM vendor who is applying for an RTEM project cost-share incentive. Any qualified vendor may be the applicant. All project applications must include an RTEM service provider, unless the customer is granted an RTEM service waiver (Attachment B).
- **Customer** is the commercial, multi-family, or industrial facility owner or manager who is procuring the RTEM system and service.

ELIGIBILITY

ELIGIBLE APPLICANTS

NYSERDA intends for RTEM Qualified Vendors to apply to the Program with eligible participant site(s). Sites must work with an RTEM Qualified Vendor to receive project funding. To become an RTEM Qualified Vendor (RFQ 3691) apply on-line at <http://nyserda->



site.force.com/CORE_CONAPP_Program_Page?programFamily=Commercial&programName=Commercial_Real_Time_Energy_Management

Providers qualified to be an RTEM vendor for the commercial sector through RFQ 3164 are automatically qualified to apply for eligible commercial and multifamily sector RTEM projects. However, if a qualified vendor would like to apply for an RTEM project in the industrial sector, they will need to apply separately through RFQ 3691 to be qualified to serve the industrial sector.

If a provider is not already on NYSERDA’s RTEM Qualified Vendor List, they are required to apply to RFQ 3691: RTEM Qualified Vendor. Applications to this Program from providers that are not on the RTEM Qualified Vendor List will not be approved until such time that the provider is accepted to the RTEM Qualified Vendor List. If the provider is rejected from the RTEM Qualified Vendor List, the project application will be rejected.

NYSERDA will make all system installation and service cost-share payments in this Program directly to the RTEM Project Applicant. If the RTEM System Provider is different from the RTEM Service Provider, then the RTEM Service Provider and the RTEM System Provider will be responsible for establishing their own payment arrangements. Customers can apply for a waiver to be exempted from the RTEM service requirement. In this instance, the RTEM System Provider would be the Project Applicant. Please see Attachment B for more details.

Building Owners and Facility Managers seeking NYSERDA funding for their sites must choose from NYSERDA’s RTEM Qualified Vendor List. Firms interested in applying to be on the NYSERDA RTEM Qualified Vendor List may include, but are not limited to: energy management system providers, Energy Service Companies (ESCOs), energy consultants, and engineering companies. Providers that fail to qualify for the list will not be eligible to submit applications to this Program.

ELIGIBLE PARTICIPANT SITES

Participants must be 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.

Eligible participant sites include:

New York State commercial facilities which include, but are not limited to, office buildings, retail, colleges and universities, health care facilities, state and local governments, not-for-profit and private institutions, and public and private K-12 schools.

New York State industrial facilities which include, but not limited to, facilities involved in manufacturing, forest products, food and beverage processing, mining and extraction.

New York State multifamily buildings with five (5) or more units including rentals, cooperatives and condominiums.

ELIGIBLE PROJECTS

Awarded projects must be installed and commissioned within one year of receiving a NYSERDA Purchase Order (“PO”). A one-time extension of up to twelve months may be requested. Failure to install within the one-year timeframe or the approved extension timeframe will result in project cancellation.

RTEM systems that are installed prior to the launch of this Program are not eligible to receive a System Installation Cost-Share (as defined in Section III below).

Existing operational RTEM systems and service agreements are eligible for service cost-share (as defined in Section III below) provided all other Program requirements are met.

For commercial facilities, a tenant space that relies on base-building energy equipment can participate in the Program. The tenant’s building must either already have a qualified RTEM system installed or be in the process of pursuing an eligible RTEM project. In such cases, NYSERDA will cost share the additional cost of including a tenant in an RTEM project, and increase total project cost-share incentive to a maximum of \$200,000 (see section III Program Incentives for funding details). All other Program rules apply. Tenant spaces with dedicated energy equipment (e.g. chillers, air handling units, pumps, rooftop units) are eligible to apply as a standalone RTEM project and receive cost-share for both system and services.

Monitoring requirements:

All RTEM projects must monitor energy usage at levels more granular than the whole-building. The time frequency of energy data monitoring must be at least fifteen minutes or more frequent. All industrial projects must monitor and integrate production or production-related data. Monitoring hardware must be permanently installed, and not intended for temporary use.

The following are ineligible for funding:

- Whole-building monitoring or the installation of sub-meters in tenant spaces without incorporating an eligible RTEM system.
- Site-Based (local) dedicated controllers and control stations where control sequences are programmed and executed in real-time, with or without remote monitoring and remote access capabilities, are ineligible.
- An autonomous Building Automation System executing local terminal and machine control functions does not qualify.
- New facilities, or those that have undergone substantial renovations, that have been occupied for less than one year are ineligible.

III: PROGRAM INCENTIVES

All projects must include cost-sharing in the form of matching cash support from the site(s). Each qualifying project site is limited to receiving \$155,000 of program funding based on the following:

For RTEM System Installations:

- NYSERDA System Installation Cost-Share is 30%.

For RTEM Services (1-5 years eligible):

- NYSERDA Service Cost-Shares are 30% for years 1 – 3;
- Applicants submitting for more than three years of service length will receive a reduced cost share of 20% in years 4 – 5.

There are two cost-share incentive options available. RTEM Applicants will be able to select, on project-by-project basis, either Option A or Option B, as seen below. It is important to note, system and service costs must be disclosed to NYSERDA, regardless of the payment option chosen. Additionally, for both options, payments will only be made to the RTEM Project Applicant. RTEM Project Applicants must disclose information regarding the NYSERDA RTEM cost-share amount for the participating site.

Incentive Levels:

Option A: available for when customers pay upfront costs for RTEM system installations. RTEM system cost-share is a one-time payment, RTEM service cost-share is an annual payment up to five years.

Option A Incentive Structure	
Incentive Type	NYSERDA Cost-Share
RTEM System Installation	30%
RTEM Service Years 1 – 3	30%
RTEM Service Years 4 – 5	20%

Option B: available when the RTEM system costs are embedded in the RTEM services costs, and the customer pays little or no upfront costs, allowing both the system and service cost sharing structure to be stretched over a five-year period.

Option B Incentive Structure	
Incentive Type	NYSERDA Cost-Share
RTEM System/Service Years 1 – 3	30%
RTEM System/Service Years 4 – 5	20%

Additional requirements

- NYSERDA will issue a maximum of 5 years of cost-share regardless of contract length (i.e. system or service costs that extend past 5 years will not be eligible for cost-sharing).

If the RTEM system costs are embedded into the RTEM services costs, the incentive structure will provide cost sharing for the RTEM service, as well as a weighted portion of the systems costs. The system cost-sharing shall not exceed the length of the RTEM contract, nor the 5-year requirement mentioned above. The RTEM Qualified Vendor will indicate, to the extent possible, the expected costs of the RTEM systems and RTEM services payments in the contract.

FUNDING LIMITATIONS

Site Cap

Each qualifying project site is limited to receiving \$155,000 of program funding.

Commercial Portfolio Expansion Cap

A portfolio of commercial sites submitted as an aggregated project or as separate Applications having the same ownership or management capable of authorizing the installation of and acting upon information from a RTEM system are limited to receiving funding for either a maximum of ten (10) sites OR a combined square footage total of 300,000 ft².

Commercial Tenant Cap

NYSERDA will cost share the additional cost of including commercial tenant(s) in a RTEM project, and increase total site cost-share incentive to a maximum of \$200,000.

Provider Cap

Commercial and Multifamily sectors: each applicant is limited to receiving 20% of overall available program funding.

Industrial sector: there is no applicant funding cap.

Sites already receiving financial assistance in the form of grants through the New York Power Authority (NYPA) for compliance with Executive Order 88, or programs offered by their local utilities, are not eligible to receive incentives for the same activities under this Program. (Financing from NYPA or NY Green Bank is allowable in combination with cost-share from this Solicitation).

Cloud-based controls/analytics

Cloud-based analytic derived set-point changes, selection of control sequences or other generally supervisory modifications of fine tuning to site-based (local) controllers and control stations are eligible for inclusion into the RTEM system cost-share. Remote-initiated supervisory changes to setpoint and selections of control sequence functionalities implemented using the same communication and data infrastructures as the pathway to the cloud-based repository, analysis routines, and visualization displays can be included in the eligible RTEM system work scope. Output devices and equipment without local intelligences that are used to translate analytics into physical actions (examples include relays for digital outputs, 4-20ma or 0-10V for analog outputs) are considered protocol converters and are eligible for inclusion into the RTEM system.

NYSERDA recommends qualified RTEM System Providers submit control type of functions for review and pre-approval prior to project proposal.

Onsite machine and system control functionalities such as Building Automation and Building Management Systems are ineligible.

IV: APPLICATION REQUIREMENTS AND APPROVAL PROCESS OVERVIEW

APPLICANT:

Required: Applicants may apply on-line through a NYSERDA portal. The following documents will be requested:

1. Signed RTEM application agreement by RTEM Qualified Vendor (Attachment A-1).
2. Current, complete electric utility bill of each site documenting the SBC payment
3. RTEM System/Service Contract: full signed contract agreement between RTEM Qualified Vendor(s) and customer
4. RTEM System/Service Contract Addendum: specific information from the RTEM System/Service Contract that is reformatted as an addendum for NYSERDA review (see Attachment C).

NYSERDA evaluates the project based on the above submitted information. All Applications will be reviewed on a first-come, first-served basis until funds are fully committed.

After the Applicant submits the Application, NYSERDA or its contractor will review the application in its entirety, and evaluate the RTEM system specifications and RTEM services offered. NYSERDA or its contractor will conduct a pre-installation site visit on at least the first two projects for all new Applicants. Applicants are encouraged to continuously engage with NYSERDA as they submit more projects for funding. Upon review and approval of the Application information and completion of the pre-installation site visit (if required), NYSERDA will notify the Applicant and site contact(s) that the Application is approved and issue a Purchase Order (PO) for the approved incentive amount.

Note: An Applicant proceeding with project demolition or installation prior to the NYSERDA conducted pre-installation site visit and approval will not receive a system installation cost-share. NYSERDA is not committed to cost-sharing a project until a PO is issued.

If at any time the project, RTEM system, or services do not meet the minimum requirements established by the Program, the Applicant will not be eligible to receive funds and the project will be cancelled.

PROGRAM DELIVERABLES:

Participation in the Program requires the Applicant to submit the following deliverables to NYSERDA during the project:

1. RTEM System/Service Contract Addendum – as stated above, prior to receiving a PO from NYSERDA.

The Applicant will provide information and supporting documentation to NYSERDA to help summarize the projects scope of work and to ensure it meets the intent of the Program.

2. RTEM Installation and Commissioning Report – prior to receiving the system cost-share from NYSERDA.

The Applicant will provide information and supporting documentation to summarize the complete installation of the RTEM system and to explain the roles and responsibilities of project participants.

3. RTEM Service Reports

The Applicants will provide bi-annual information and supporting documentation to help summarize the performance of the project on a bi-annual basis. This includes a summary of energy usage over the given reporting period, pre and post analysis of any implemented energy savings measures (both capital and operation and maintenance (O&M) projects), and an account of potential future energy saving measures under consideration. The list shall also specify the expected energy savings and installation cost from each measure.

RTEM Service Reports for Industrial projects will be required to provide CUSUM Energy Savings Model data. This regression model must be developed as per the standards of any of the following:

- IPMVP Option C;
- NREL Uniform Methods Project SEM Protocol; OR
- Equivalent standards at the discretion of NYSERDA.

PROJECT PAYMENTS:

NYSERDA intends to issue progress payments based on the following:

1. System installation cost-share will be issued to the Applicant upon review and approval of installation and commissioning of the RTEM system. NYSERDA or its contractor will authorize the payment, the approval of required documents needed to prepare the RTEM Installation and Commissioning Report, and associated data. Failure to provide documents needed to complete the report within 30 days after the commissioning date may forfeit funding from this Program.
2. Service cost-share will be provided annually, after review and approval of all required Service Reports and associated data. This process will repeat each following year. If reporting is not received within the first six months after commissioning, and thereafter, Applicants may forfeit project funding from the Program.

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/NYSERDARegulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
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://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/sfl139-j.htm> 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 Nonresponsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

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



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

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

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

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

VI: ATTACHEMENTS FOR REFERENCE

Attachment A-1 – RTEM Industrial Application

Attachment A-2 - Multiple Sites Template

Attachment A-3 - Terms and Conditions

Attachment B - Waiver of RTEM Service Requirement Request for RTEM Projects

Attachment C – RTEM Contract Addendum Guidelines



NYSERDA

**Workforce Training: Building Operations and Maintenance
Program Opportunity Notice (PON) 3715
\$6,700,000 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 May 30, 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 May 30, 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?
 - Does the Scope of Work clearly identify skills gaps being addressed and the training initiatives to address those gaps?
 - Are the type and number of workers being trained specified in each training task and overall?
 - Is there a task that outlines steps that will be taken to ensure the project results in a sustainable effort that is incorporated into the corporate culture?
- Replicable – 10 points
 - Can the project be replicated throughout an organization that employs building operation and maintenance workers or throughout a proposing team?
 - Will the project result in deliverables that can be used to share project results and lessons learned with other similar organizations or building types?
- Efforts to Hire Workers that Need Assistance Entering the Clean Energy Labor Market – 10 points
 - Is there a component to identify and explore opportunities to hire and advance the skills of unemployed, under-employed, transitioning, or displaced workers?
- Plan to Identify and Measure Non-Energy Benefits – 8 points
 - Is there a reasonable strategy for measuring or monitoring non-energy benefits and impacts (i.e., cost savings, reduced staff turnover, increased occupant satisfaction, reduced tenant turnover, reduced equipment downtime, and/or increased number of worker certifications)?
- Maximize Impact and Leverage Existing Resources - 8 points
 - Is there leveraging of resources, such as subject matter experts, curriculum, equipment, training facilities, etc.)?
 - Are there teaming arrangements between employers, across multiple properties, or with training providers?

Programmatic Considerations:

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

IX. Evaluation Process

Evaluation Process:

Proposals that meet the eligibility and project requirements detailed in Sections II, III, and IV will be reviewed at least biweekly by a Scoring Committee using the Evaluation Criteria identified above. After the proposals are reviewed, NYSERDA will inform each proposer of their selection status. Applicants receiving favorable evaluations may also be asked to address specific questions or recommendations of the Scoring Committee, or make modifications to the Scope of Work before being awarded funding. NYSERDA reserves the right to accept or reject

any or all proposals received, to negotiate with all qualified sources, or to cancel the PON in part or in its entirety when it is in NYSERDA's best interest. NYSERDA may request additional data or material to support proposals.

Successful Proposals:

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

Denied Applications:

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

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



Multifamily New Construction Program

Program Opportunity Notice (PON) 3716
\$11,006,000 Available

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

Applications accepted November 2017 through December 31, 2018 by 5:00 PM Eastern Time or until funds are fully committed, whichever occurs first. *

The Multifamily New Construction Program (MF NCP) offers technical support and incentives to developers of multifamily high rise new construction and gut rehabilitation projects. The multi-tiered incentive structure is intended to promote increased levels of performance, up to and inclusive of net zero energy performance, identifying replicable and integrated design solutions by focusing on cost optimization analysis and financing strategies that recognize operational costs and management of perceived risks. The goal is to increase awareness of and demand for advanced clean energy solutions while strengthening the capacity of clean energy professionals to deliver design and construction services. Use of solar photovoltaic generation and other renewable energy systems, as well ground source heat pumps and other innovative technologies, are encouraged to achieve the higher performance targets. The Applicant is expected to hire a Multifamily New Construction Program Partner (Partner) to act as the primary resource for their participation. MF NCP significantly but not exclusively targets the Low to Moderate Income (LMI) housing sector, supporting New York State and New York City housing agencies as well as other funding authorities in their efforts to secure efficient, durable, resilient and healthy housing. MF NCP is closely aligned with NYSERDA's Low-Rise Residential New Construction Program (LR NCP) to more seamlessly support the higher performance multifamily new construction market.

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). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), click the link "NYSERDA Solicitation User Guide [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

If you have technical questions concerning this procurement, contact Patrick Fitzgerald (Designated Contact) at (518) 862-1090, ext. 3385 or by e-mail Patrick.Fitzgerald@nyserda.ny.gov, or Zachary Zill (Designated Contact) at (518) 862-1090, ext. 3092 or by e-mail Zachary.Zill@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 may result in (1) the proposer being deemed a non-responsible offerer, and/or (2) 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 proposals will not be accepted. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov/>.

1 Introduction

MF NCP offers technical support and incentives to developers of multifamily high rise new construction and gut rehabilitation projects. The multi-tiered incentive structure is intended to promote increased levels of performance, up to and inclusive of net zero energy performance, identifying replicable and integrated design solutions by focusing on cost optimization analysis and financing strategies that recognize operational costs and management of perceived risks. The goal is to increase awareness of and demand for advanced clean energy solutions while strengthening the capacity of clean energy professionals to deliver design and construction services. Use of solar photovoltaic generation and other renewable energy systems, as well ground source heat pumps and other innovative technologies, are encouraged to achieve the higher performance targets. The Applicant is expected to hire a Partner to act as the primary resource for their participation.

MF NCP significantly but not exclusively targets the LMI housing sector, supporting New York State and New York City housing agencies as well as other funding authorities in their efforts to secure efficient, durable, resilient and healthy housing. MF NCP is closely aligned with NYSERDA's LR NCP to more seamlessly support the higher performance multifamily new construction market.

For additional information and related documents, please visit the Multifamily New Construction website page at: <https://www.nysERDA.ny.gov/All-Programs/Programs/Low-Rise-Residential/Mid-and-High-Rise-Multifamily-Buildings>

2 Program Eligibility and Application Requirements, Incentives

At the onset of their relationship with a potential Applicant and prior to submitting a MF NCP Application Package to NYSERDA, the Partner must work with the potential Applicant to determine MF NCP eligibility, market type and estimated incentives.

2.1 Establishing a project

This section details the requirements for determining MF NCP eligibility.

2.1.1 Eligibility Requirements

Applicants will be required to execute a MF NCP Terms and Conditions (Attachment B) with NYSERDA, and deliver completed projects that, at a minimum, meet the requirements detailed in these Guidelines and other MF NCP documents. To be eligible for MF NCP participation, a project must be, or be capable of and intend to be, a New York State electricity distribution customer of a participating utility company that pays into the System Benefits Charge. Project eligibility is fuel-neutral.

Requests by Applicants who had previously applied to PON 3319 but have yet been issued an Award Letter from NYSERDA will be accepted to participate in PON 3716 in lieu of PON 3319. Additionally, requests by Applicants who had previously applied to PON 3319 and have been issued an Award Letter from NYSERDA to participate but who have not yet received an incentive payment from NYSERDA will also be accepted to participate in PON 3716 in lieu of PON 3319.

NYSERDA has the sole discretion for determining an Applicant's eligibility to participate.

2.1.1.1 Project Size

The project must be a multifamily building(s) with four (4) or more stories.

Low-rise buildings, defined as having three (3) or fewer stories, are not eligible for MF NCP, and may apply to NYSERDA's PON 3717 Low-Rise Residential New Construction Program (LR NCP). For additional information on the LR NCP, please visit: <http://www.nyserda.ny.gov/All-Programs/Programs/Low-Rise-Residential/Low-Rise-Residential-New-Construction-Multifamily>

2.1.1.2 Eligible Types of Construction

The MF NCP will accept both new construction and gut rehabilitation, as defined below:

New Construction: A new building, or portion within a new building, where a licensed professional architect or engineer has prepared and certified the building plans.

Gut Rehabilitation: Substantial renovation, one of the following types of projects where a licensed professional architect or engineer has prepared and certified the building plans:

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

2.1.1.3 Intended Use

The primary intended use of the building should be residential.

Projects may contain non-residential (commercial and/or retail) space if that space does not consist of more than 50 percent of the occupiable square footage of the entire building. Commercial and/or retail space within a primarily residential building supported by MF NCP may be eligible to access additional support through NYSERDA's Commercial New Construction Program.

Commercial facilities, such as motels/hotels, group homes, dormitories, shelters, monasteries, nunneries, assisted living facilities and nursing homes are not typically eligible for MF NCP but may be deemed by NYSERDA as

eligible either in whole or in part, based on a case-by-case review of the intended use, expected occupancy, and performance path indicated by the Applicant.

Supportive Housing, single room occupancy (SRO) facilities, and senior living residences may be deemed by NYSERDA as eligible for MF NCP, based on a case-by-case review. Supportive Housing is defined as residences that are owned and operated by non-profit organizations. Tenants are individuals and families who require both affordable permanent housing and support services, have lease agreements, pay rent (often a percentage of their income) and abide by the terms of their lease. This includes people who have been homeless, have histories of substance abuse, are coping with mental illness, have chronic illnesses like HIV/AIDS, are young adults aging out of foster care, are homeless veterans, or are grandparents raising grandchildren.

This is not a comprehensive list of property types that are eligible for MF NCP. Special circumstances may be reviewed by NYSERDA and considered for eligibility on a case-by-case basis.

2.1.1.4 ENERGY STAR Eligibility

Projects that have applied to MF NCP that meet the Performance Path with ENERGY STAR requirements are eligible to apply directly to the EPA for the ENERGY STAR MFHR label for the units within the building. Use the EPA's ENERGY STAR Multifamily New Construction Program Decision Tree to determine whether your project qualifies for the ENERGY STAR label:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_bldg_eligibility.

All of the EPA's ENERGY STAR MFHR referenced documentation is located at:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

Please refer to the EPA for more information on the ENERGY STAR MFHR Certification Process:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_certification

2.1.2 Definition of a Project

For the purposes of MF NCP, a project is defined as a building or group of identical buildings. The Partner will develop one Building Performance Plan or complete one Modified Prescriptive Path Calculator for each project. Each building in a project must adhere to the requirements of the approved compliance path, including the applicable testing and verification protocols. Each building may be subject to separate Open Wall Inspections.

A group of buildings that includes more than one building design must apply to MF NCP as multiple projects. The Partner must submit a separate Application Package for each building design. At the modeling stages, the Partner must submit a separate Building Performance Plan or Modified Prescriptive Path Calculator for each design.

Final determination of how a project is defined is at NYSERDA's discretion.

2.1.3 Determining Market Type

Once the Partner has worked with the Applicant to verify that the project is eligible for MF NCP, they must determine the project's market type: Low to Moderate Income or Market Rate. NYSERDA defines Low to Moderate Income (LMI) projects as projects in which the majority of dwelling units are expected to be occupied by households earning no more than 80 percent of the State or Area Median Income, whichever is greater. All properties are considered Market Rate unless eligibility for the LMI incentive amounts can be established, on a per dwelling unit basis, by applying one of the methods detailed in Section 2.1.3.1.

2.1.3.1 Low to Moderate Income (LMI)

To establish eligibility for the LMI incentive amounts and project caps, documentation must be submitted as soon as possible and prior to the first incentive payment the project is eligible for, which is dictated by the selected compliance path. There are three methods to verify that the project is eligible for LMI incentives:

- a. *Proxy*: NYSERDA allows certain proxies to verify LMI eligibility. Please see Table 2.1 for approved proxies. Additional proxies may be considered by NYSERDA to establish eligibility for LMI incentives on a case-by-case basis. The number of eligible LMI dwelling units for projects funded through NYS

Housing Finance Agency's (HFA's) 80/20 Program or NYC HDC's 80/20 or Mixed Income Programs may be established based on their regulatory funder's award letter or contract documents.

- b. *Rent Roll*: The Rent Roll method applies only to gut rehabilitation projects that do not meet the LMI eligibility proxies; or to projects funded through NYS HFA's 80/20 Program or NYC HDC's 80/20 or Mixed Income Programs. This method may not be combined with the Resident Income method. Applicants must submit the annual rent, size, and occupancy for each apartment in the project. The majority of dwelling units must have a calculated household income no greater than 80 percent of the State or Area Median Income based on the assumption that 30 percent of household income is applied to housing costs (i.e. rent). A calculation spreadsheet tool is available on NYSERDA's website for determining Rent Roll income eligibility.
- c. *Resident Income*: The Resident Income method applies only to gut rehabilitation projects that do not meet the LMI eligibility proxies; or to projects funded through NYS HFA's 80/20 Program or NYC Housing Development Corporation's (HDC's) 80/20 or Mixed Income Programs. This method may not be combined with the Rent Roll method. Applicants must submit signed Resident Income Certification forms with supporting documentation for a majority of the project's dwelling units. Resident Income Certification Instructions and related forms are available on NYSERDA's website.

2.1.3.2 Market Rate

Eligible projects that do not qualify for LMI incentives amounts and project caps as detailed above may be eligible for Market Rate incentives.

Table 2.1 Low-to-Moderate (LMI) Proxies

ELIGIBILITY PROXY	DESCRIPTION	TYPE OF DOCUMENTATION ¹
1. US HUD, USDA-RD, and other Federally Regulated LMI Housing	<p>Properties that receive subsidies from HUD or USDA-RD based on household income may be defined as LMI, based on household income criteria detailed in the contract or award, including regulatory control or structures such as:</p> <ul style="list-style-type: none"> • Section 8 Contract • Sections 202, 236, 811 • Public Housing Authorities 	Submit a copy of the HUD contract or contract award notice.
2. NYS HCR- Regulated LMI Housing	Properties with subsidized mortgages or contracts that place them under the regulatory control of HCR may be defined as LMI, based on household income criteria detailed in the HCR contract or award.	Submit a copy of HCR contract or contract award notice.
3. Low-Income Housing Tax Credits	Properties that receive tax credits may be defined as LMI based on household income criteria detailed in the tax credit award notice.	Submit a copy of tax credit award notice from HCR or HPD.
4. NYC HPD- Regulated LMI Housing (or similar local housing agencies)	Properties with loans, mortgages, or deeds of purchase (HDFC incorporation) from HPD or similar local housing agencies may be defined as LMI, based on household income criteria detailed in the award documentation.	Submit documentation of current mortgage, loan closing, HDFC incorporation, or deeds.
5. SONYMA Mortgage Insurance	Properties subsidized for LMI residents with SONYMA subsidized financing through the HFA may be defined as LMI, based on household income criteria detailed in the contract or award.	Submit a copy of loan closing/ mortgage insurance award documents.
6. Participation in NYS HFA's 80/20 Program or similar HFA-regulated offerings	Properties that have been accepted into the HFA's 80/20 Program, or similar HFA-regulated offering, may be defined as LMI based on household income criteria detailed in the contract or award.	Submit a copy of the award letter or HFA contract documents.
7. Participation in NYC HDC's 80/20 or Mixed Income Programs or similar HDC-regulated offerings	Properties that have been accepted into the NYC HDC's 80/20 or Mixed Income Program, or similar HDC-regulated offering, may be defined as LMI based on household income criteria detailed in the contract or award.	Submit a copy of the award letter or HDC contract documents.

Glossary of Terms:

- USDA – United States Department of Agriculture
- US HUD – United States Department of Housing and Urban Development
- NYS HCR – New York State Housing and Community Renewal
- NYS HFA – New York State Housing Finance Agency
- NYC HDC – New York City Housing Development Corporation
- NYC HPD – New York City Housing and Preservation Development
- SONYMA – State of New York Mortgage Agency

¹When any related proxy does not require 100% of households to meet LMI requirements, the number of dwelling units associated with the project at each household income level must be clearly detailed in the submitted documentation.

2.2 Incentives

Projects that have received a funding commitment from NYSERDA for Tier 2 or Tier 3 performance targets and that have met all those requirements are eligible to request payment of the corresponding incentives. The incentives available through MF NCP are based on market type, the year the complete application was submitted, number of dwelling units, and performance tier.

2.2.1 Calculating Incentives

There are separate incentive schedules for LMI and market-rate projects. Additionally, different incentives are offered to projects based on the year the complete application was submitted, number of dwelling units, performance tier, and market type for the dwelling units associated with the project.

For projects that have up to 50 dwelling units, the incentive per dwelling unit amount listed for “Up to 50 dwelling units” applies to all dwelling units. For projects that have more than 50 dwelling units, the first 50 dwelling units receive the incentive per dwelling unit amount listed for “Up to 50 dwelling units,” and the balance of the units receive the incentive per unit amount listed for “More than 50 dwelling units.”

Examples:

A Tier 2 project with 40 LMI-qualified dwelling units that applies in 2017 would be eligible to receive:
 40 dwelling units x \$1,000/unit = \$40,000

A Tier 2 project with 80 LMI-qualified dwelling units that applies in 2017 would be eligible to receive:
 (50 dwelling units x \$1,000/unit) + (30 dwelling units x \$600) = \$68,000

Per project incentives are capped based on market type, year of application and performance tier.

LMI						
2016			Performance Tier	2017-18		
Up to 50 dwelling units	More than 50 dwelling units	Cap		Up to 50 dwelling units	More than 50 dwelling units	Cap
\$ -	\$ -	\$ -	Tier 1	\$ -	\$ -	\$ -
\$ 1,000	\$ 600	\$ 100,000	Tier 2	\$ 1,000	\$ 600	\$ 100,000
\$ 3,500	\$ 3,000	\$ 300,000	Tier 3	\$ 3,500	\$ 3,100	\$ 300,000

Market Rate						
2016			Performance Tier	2017-18		
Up to 50 dwelling units	More than 50 dwelling units	Cap		Up to 50 dwelling units	More than 50 dwelling units	Cap
\$ -	\$ -	\$ -	Tier 1	\$ -	\$ -	\$ -
\$ 500	\$ 300	\$ 50,000	Tier 2	\$ 450	\$ 200	\$ 100,000
\$ 2,500	\$ 2,000	\$ 200,000	Tier 3	\$ 1,600	\$ 1,400	\$ 300,000

2.2.2 Incentive Payment Schedules

The Applicant will receive the incentives that NYSERDA has approved for their project after each submittal Stage has been approved.

Incentive payment at each Stage is a set percentage of the total approved incentive. The incentive payment schedule is based on compliance path and performance tier.

To receive the full incentive amount, projects must verify that they have achieved the performance targets specified in their approved performance tier, and each submittal must be approved by NYSERDA. If the project does not meet the performance target, the Partner must contact the NYSERDA-designated liaison, as defined in 3.3.3(2), prior to submittal. The NYSERDA-designated liaison will provide the adjusted incentive amount, if applicable.

MF NCP - Incentive Payment Schedule						
	Stage 1		Stage 2		Stage 3	
	Performance Path, PHI, PHIUS	MoPP	Performance Path, PHI, PHIUS	MoPP	Performance Path, PHI, PHIUS	MoPP
Performance Tier	LMI and Market Rate					
Tier 1	N/A	N/A	N/A	N/A	N/A	N/A
Tier 2	25%	N/A	25%	50%*	50%	50%*
Tier 3	10%	N/A	35%	N/A	55%	N/A

*gut rehabs only

2.2.3 Renewable Energy, Ground Source Heat Pumps, and Other Innovative Technologies

Applicants to MF NCP are encouraged to incorporate solar photovoltaics² and other renewable energy systems, as well ground source heat pumps and other innovative technologies, into their projects to achieve the performance targets. Applicants are not restricted from receiving targeted incentives additionally available from other NYSERDA programs to support those types of installations.

2.3 Application Documents and Processing

Upon identifying an eligible project, the Partner, in consultation with the Applicant, should submit a MF NCP Application. This Section outlines the process and requirements for submitting a complete Application Package. Reference the Application Submittal Checklist (Attachment D), which can be found on NYSERDA's website, for more details.

2.3.1 Application Package Contents

1. *Project Application Form (Attachment C)*: identifies basic information about the project. The Applicant (Property Owner/Company Name) must exactly match the Terms and Conditions (Attachment B). The name of the Applicant must be complete, including the company designation (Inc., Co., LLC, LP, etc.).
2. *Terms and Conditions (Attachment B)*: an acknowledgement by the Applicant of the MF NCP requirements. The person who signs the Terms and Conditions must be the authorized signatory for the Applicant organization. An authorized signatory has the ability to contractually bind your organization. (An authorized signatory may be different from the project manager or primary contact.)
3. *LMI Documentation* (if applicable)
4. *EPA's ENERGY STAR MFHR Developer Partnership Agreement* (if not previously submitted and for Performance Path with ENERGY STAR projects only): to be completed by the developer/owner responsible for the project's design, financing and construction. A copy of the Agreement can be obtained from the following ENERGY STAR website:
https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_dev_partners

² Projects that otherwise meet the Tier 3 requirements intending to seek NYSERDA's commitment for and payment of those Tier 3 incentives will be required to locate the solar electric array(s) on-site, co-located with the project's buildings. Project applicants may seek a waiver from NYSERDA to allow a properly sized solar electric array to be located on a remote site and in a manner that allows a remote net metering arrangement to achieve the required offset of the project's predicted energy use. To receive NYSERDA's approval of the waiver request, the Applicant must demonstrate the solar electric array's ownership is structured in a manner that assures its output will be dedicated to the project.

2.3.2 Completion Instructions

1. Review the Application documentation for completeness. Check the Project Application Form (Attachment C), Terms and Conditions (Attachment B), LMI Documentation (if applicable), and EPA's ENERGY STAR MFHR Developer Partnership Agreement (if applicable) for completeness and accuracy before starting an online application.
2. Start an online application. The Application Package must be submitted online via the CRIS Database. The Partner will log in to the CRIS database using the Partner's login and password. Use the Project Application Form to complete the Application.
3. Upload Application documents. Upload the Terms and Conditions, LMI Documentation (if applicable), and ENERGY STAR MFHR Developer Partnership Agreement (if applicable).
4. The CRIS database will acknowledge your complete application via email.
5. NYSERDA will review the application. NYSERDA will contact the Partner and the Applicant to confirm application receipt.

NOTE: Submission of a completed application does not entitle the Applicant to MF NCP participation, nor payment of incentives. Final determination of project eligibility, NYSERDA's commitment of incentives, and payment of incentives resides with NYSERDA.

2.3.3 Contact Information

1. Eligibility, Intake and Application Inquiries - A team of individuals reviews each Application and responds to inquiries related to applications, eligibility and intake. Inquiries should be directed to NYSERDA at ResMFNCP@nyserda.ny.gov.
2. Project Inquiries - After receiving emailed confirmation that the Project Application Form (Attachment C) has been received, all project-related correspondence between the Partner and NYSERDA must be directed to the NYSERDA-designated liaison. This designee receives and reviews MF NCP submittals from the Partner, answers programmatic questions, and serves as a daily contact informed of your project's programmatic progress. Contact information will be provided upon assignment.

2.4 Scoping Session

Once NYSERDA has approved the project's application, NYSERDA or its designee will schedule a Scoping Session with the Applicant, the Partner and the project team. The intent of the Scoping Session is to discuss general project information and review MF NCP requirements and responsibilities for each party. The Scoping Session may also identify additional documents required to allow the project to be established in NYSERDA's financial systems. Knowledgeable representatives from both the Partner and Applicant are required to attend the Scoping Session. After the Scoping Session, if all parties agree to move forward with this project in MF NCP, NYSERDA will send a MF NCP Award Letter to the Applicant verifying that the application is approved to participate in the MF NCP. Final approval and issuance of the MF NCP Award Letter are at NYSERDA's discretion.

3 Technical Requirements

MF NCP offers project teams technical support and guidance to achieve higher levels of energy performance as well as health and safety through-out the planning and construction process. Projects must meet the requirements detailed in this document and the MF NCP Guidelines (Attachment A), and achieve their approved performance targets to receive NYSERDA's financial incentives (if applicable).

3.1 Compliance Paths

At the time of application, projects must select one of the following compliance paths:

3.1.1 Performance Path with ENERGY STAR®

This compliance path follows the standards developed by the US Environmental Protection Agency (EPA) for the ENERGY STAR Multifamily High Rise (MFHR) program. This pathway requires the Partner to create a model of the proposed building design based on the American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE) standards and compare it to a baseline model. Additionally, the difference in the source energy use predicted by the two models must equal or exceed the performance target specified in the project's approved performance tier. Projects following the Performance Path with ENERGY STAR are required to adhere to all ENERGY STAR MFHR Performance Path Prerequisites and ENERGY STAR MFHR Testing & Verification Protocols. See Section 2.1.1.4 for information on ENERGY STAR MFHR eligibility, and Section 4 for more information on this pathway.

3.1.2 Passive House Institute US (PHIUS)

Projects following this compliance path must comply with the PHIUS+ Multifamily Certification Standard developed by the Passive House Institute US (PHIUS). The project must contract with a Certified Passive House Consultant (CPHC®) and a PHIUS+ Verifier, and must pursue, and obtain, certification by PHIUS. In addition to meeting the PHIUS requirements, project pursuing PHIUS+ certification are required to submit the ENERGY STAR MFHR Photo Template. Refer to Section 5.3.2 for more details on this template, and Section 5 for more information on this pathway.

3.1.3 Passive House Institute (PHI)

Projects following this compliance path must comply with the Passive House Standard developed by the Passive House Institute (PHI). The project must contract with a certified PHI Consultant or Designer and an accredited PHI Certifier, and must pursue, and obtain, certification by PHI. In addition to meeting the PHI requirements, projects pursuing PHI certification are required to submit the ENERGY STAR MFHR Photo Template. Refer to Section 6.3.2 for more details on this template.

The North American Certifiers Circle is currently developing a third-party verification program called VeriPHY. Until VeriPHY is released, projects following this compliance path must record the results of all testing and verification in the corresponding sections of the ENERGY STAR MFHR Testing & Verification Workbook. Once released, NYSERDA will evaluate VeriPHY and consider allowing that process to replace this requirement for PHI projects. Refer to Section 6.3.2 for more details on verification, and Section 6 for more information on this pathway.

3.1.4 Modified Prescriptive Path (MoPP)

This compliance path requires the project to meet the set of requirements specified in the Modified Prescriptive Path Requirements (Attachment E) as set forth in Section 7, including completion of the ENERGY STAR MFHR Testing & Verification Protocols. Inclusion of these requirements is considered to equal or exceed the performance target specified in the project's approved performance tier. The MoPP allows some exceptions to its requirements for gut rehabilitation projects and historic buildings. This pathway does not result in an ENERGY STAR label, but may result in the New York Energy \$mart designation from NYSERDA. Refer to Section 7 for more information on this pathway.

3.2 Performance Tiers

At the time of application, projects must select and commit to meeting one of the following performance tiers. Each performance tier is associated with specific performance requirements. Higher tiers are associated with increasing

levels of performance and higher incentives. To be eligible to receive the associated incentives, the project must achieve the performance target associated with its approved performance tier.

3.2.1 Tier 1

Tier 1 is available to new construction projects following the Performance Path with ENERGY STAR or the MoPP.

For gut rehabilitation projects, Tier 1 is only available to projects following the Performance Path with ENERGY STAR.

Projects following the Performance Path with ENERGY STAR must achieve certification under the EPA's ENERGY STAR Multifamily High Rise (MFHR) program. To find out more about the EPA's program, rules and requirements, please visit the EPA website at

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_multifamily_highrise.

Projects that pursue either Passive House compliance path and were designed to achieve either Tier 2 or 3 but do not receive the associated certification from the applicable standards setting organization may qualify for Tier 1 if the project meets the associated Stage 1 and 2 requirements for that compliance path, and if their Stage 3 submittal is complete and approvable except for achieving certification from the applicable standard organization.

3.2.2 Tier 2

Tier 2 is available to new construction and gut rehabilitation projects following the Performance Path with ENERGY STAR, the PHI path or the PHIUS+ path.

Tier 2 is also available to gut rehabilitation projects following the MoPP.

Projects following the Performance Path with ENERGY STAR must, at minimum, achieve a performance rating of 25% above ASHRAE Standard 90.1, where the performance rating is calculated using source energy (see Section 4.3.4 for more information). The version of ASHRAE 90.1 that must be used is dependent on what version of NYS Energy Code the project is permitted under. If the project is permitted under the Energy Conservation Construction Code of New York State (ECCC of NYS) 2014, then the project's performance rating is in reference to ASHRAE 90.1-2010. If the project is permitted under ECCC of NYS 2016, then the project's performance rating must be in reference to ASHRAE 90.1-2013, as defined by ECCC NYS 2016. Additionally, the project must achieve certification under the EPA's ENERGY STAR Multifamily High Rise (MFHR) program. To find out more about the EPA's program, rules and requirements, please visit the EPA website at

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_multifamily_highrise.

Projects following either Passive House path need to comply with the minimum requirements of the applicable Passive House standard, achieving certification to either PHI or PHIUS+.

3.2.3 Tier 3

Tier 3 is available to new construction projects following the Performance Path with ENERGY STAR, the PHI path or the PHIUS+ path. Tier 3 is available to gut rehabilitation projects following the Performance Path with ENERGY STAR, with an adjusted baseline equivalent to that required of a new construction project.

Projects following the Performance Path with ENERGY STAR must, at a minimum, achieve a performance rating of 35% above ASHRAE Standard 90.1 without inclusion of any renewable or distributed generation and a performance rating of 42% above ASHRAE Standard 90.1 including any renewable or distributed generation, where the performance rating is calculated using source energy (refer to Section 4.3.4 for more information). The version of ASHRAE 90.1 that must be used is dependent on what version of NYS Energy Code the project is permitted under. If the project is permitted under ECCC NYS 2014, then the project's performance rating is in reference to ASHRAE 90.1-2010. If the project is permitted under ECCC NYS 2016, then the project's performance rating is in reference to ASHRAE 90.1-2013, as defined ECCC NYS 2016. Additionally, the project must achieve certification under the EPA's ENERGY STAR Multifamily High Rise (MFHR) program. To find out more about the EPA's program, rules and requirements, please visit their website at

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_multifamily_highrise

Projects following the PHI path must be designed, constructed, and certified to PHI standards and must achieve, at maximum, a Primary Energy Demand calculation of 33 kBtu/ft²/year without inclusion of any renewable or distributed generation, and a Primary Energy Demand calculation of 29 kBtu/ft²/year including any renewable or distributed generation. Calculation of this Primary Energy Demand threshold must rely on use of the PHI-required energy modeling tool; and the project must meet the minimum PHI requirements needed for the project to be certified as meeting the PHI standard. Both Primary Energy Demand thresholds may exclude the energy use attributed to amenities, such as dishwashers, laundry and exterior lighting, per Section 5.5.1.

Projects following the PHIUS path must be designed, constructed, and certified to PHIUS+ standards and must achieve, at maximum, a Primary Energy Demand calculation of 5,200 kWh/person/year without inclusion of any renewable or distributed generation, and a Primary Energy Demand calculation of 4,200 kWh/person/year including any renewable or distributed generation. Calculation of this Primary Energy Demand threshold must rely on use of the PHIUS-required energy modeling tool; and the project must meet the minimum PHIUS+ requirements needed for the project to be certified as meeting the PHIUS+ standard. Both Primary Energy Demand thresholds may exclude the energy use attributed to amenities, such as dishwashers, laundry and exterior lighting, per Section 6.5.1.

3.3 Deadlines

For projects following the Performance Path with ENERGY STAR, the Stage 1 submittal, as detailed in Sections 4 and 7, must be submitted no later than 30 days after the municipal Buildings Department's final approval of New Building Architectural, Mechanical, and Plumbing plans. For projects following the PHI or PHIUS paths, the Stage 1 submittal, as detailed in Section 5 and 6, must be submitted no later than 30 days after the project has received PHI or PHIUS pre-certification.

3.4 Incentive and Incentive Caps

The incentives available through MF NCP are based on market type, the year the complete application was submitted, number of dwelling units, and performance tier. Refer to Section 2.2 for more details.

4 Performance Path WITH ENERGY STAR

The following section describes the requirements of the Performance Path with ENERGY STAR. Please reference Appendix A of this document for the Performance Path Process Flow Chart.

4.1 Submittal Requirements

For the Applicant to receive the NYSERDA incentives approved for their project, the Partner must submit the required documentation as detailed in the Stages below. These submittals may be reviewed by NYSERDA or its designee. The three submittal Stages are described below. The incentives will only be paid if these submittals are approved by NYSERDA. All documents listed in this section must be submitted to the project's NYSERDA-designated liaison and approved by NYSERDA.

4.1.1 Stage 1: Energy Modeling Submittal

The first NYSERDA incentive is available to the Applicant when the project has reached design completion and NYSERDA has approved the Energy Modeling Submittal. This submittal must show that the project achieves the performance target and meets the requirements of the ENERGY STAR MFHR Performance Path. If the energy model indicates the intended performance target will not be met, the Partner must contact the NYSERDA-designated liaison prior to submittal.

The Energy Modeling Submittal must be submitted no later than 30 days after the Buildings Department's final approval of New Building Architectural, Mechanical, and Plumbing plans. The Buildings Department's approval shall be submitted to the project's NYSERDA-designated liaison upon receipt, but must be received by the submission of the Open Wall Submittal.

Documents Required for Stage 1:		Document Obtained From:
<input type="checkbox"/>	Applicant-Partner Contract (signed by both parties)	Partner created document
<input type="checkbox"/>	LMI Documentation (if not previously submitted)	See Table 2.1
<input type="checkbox"/>	Buildings Department's final New Building approval of Architectural, Mechanical, and Plumbing plans (if available at the time of submittal)	Permitting office that approved the Construction Documents
<input type="checkbox"/>	Proposed BPP	NYSERDA's website
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA
<input type="checkbox"/>	Statement of Energy Design Intent**	EPA
<input type="checkbox"/>	Energy Modeling files*	Partner created documents
<input type="checkbox"/>	Complete Construction Documents (CDs)	Applicant/Developer/Design Team

*For eQUEST models, please submit the .inp, .pd2, and .prd files

** Statement of Energy Design Intent will be submitted after the Stage 1 Submittal is approved

4.1.2 Stage 2: Open Wall Submittal

The second NYSERDA incentive is available to the Applicant when the project has reached the Open Wall milestone and NYSERDA has approved the Open Wall submittal and Site Inspection Report. The Partner must submit a complete Open Wall Submittal to the NYSERDA-designated liaison at least two weeks before the project reaches the Open Wall Milestone. This gives the NYSERDA-designated MF NCP Site Inspector time to properly schedule the Open Wall inspection. The purpose of this inspection is to verify that typical Open Wall components are installed in accordance with MF NCP requirements. This includes measures from the Proposed Building Performance Plan (BPP) and ENERGY STAR MFHR Performance Path Prerequisites.

Documents Required for Stage 2:		Document Obtained From:
<input type="checkbox"/>	Site Inspection Request Form (Attachment F)	NYSERDA's website

<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA
<input type="checkbox"/>	Buildings Department's final New Building approval of Architectural, Mechanical, and Plumbing plans (if not previously submitted)	Permitting office that approved the Construction Documents

4.1.3 Stage 3: As-Built Submittal

The third NYSERDA incentive is available to the Applicant when the project construction is complete, and NYSERDA has approved the As-Built Submittal and Data Release Authorization Forms (DRAFTs). This submittal must show that the project meets or exceeds the performance target specified in its approved performance tier and meets the requirements of the ENERGY STAR MFHR Performance Path Prerequisites. If the project does not meet the performance target, the Partner must contact the NYSERDA-designated liaison prior to submittal.

The Partner must work with the Applicant to determine whether to submit Tenant DRAFTs (Attachment H) or to follow the alternative process to allow the NYSERDA-designated liaison to access the utility consumption information directly.

- DRAFTs: All projects are eligible to follow the DRAFT process. The Partner must submit the Owner DRAFT (Attachment G), which must include utility information for all common areas of the building, and Tenant DRAFTs (Attachment H), which must include utility information for a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five apartments. Of the 10 percent sample, at least one of each apartment type (e.g. studio, 1 bedroom, large 1 bedroom) must be represented. Additionally, a list of all apartment numbers and their corresponding apartment type (e.g. studio, large 1 bedroom) must be provided.
- As an alternative to submitting the Tenant DRAFTs (Attachment H) and associated list of apartments, the Applicant must complete and sign the utility's Letter of Authorization and send it and a copy of the building's utility bill to the Partner. The Partner must then complete the application tab of the utility's Aggregated Consumption Data Request form (if applicable), compile all documents, including the Owner DRAFT (Attachment G), and submit to the NYSERDA-designated liaison. All data is kept strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments. To be eligible to follow this approach, the project's electric and/or gas utility must provide aggregated data.

Documents Required for Stage 3:

Document Obtained From:

<input type="checkbox"/>	As-Built BPP	NYSERDA's website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA
<input type="checkbox"/>	Modeling files*	Partner created documents

*For eQUEST models, please submit the .inp, .pd2, and .prd files

DRAFT Documents:

<input type="checkbox"/>	Owner DRAFT (Attachment G) (for all common area utility accounts) (executed)	NYSERDA's website
<input type="checkbox"/>	Tenant DRAFTs (Attachment H) (executed)	NYSERDA's website
<input type="checkbox"/>	List of each apartment number and type (e.g., studio, 1 bedroom)	Partner created document

Alternative utility account document submittal requirements, if Tenant DRAFT Documents and list of sample apartments are not submitted:

<input type="checkbox"/>	Owner DRAF (Attachment G) (for all common area utility accounts) (executed)	NYSERDA's website
<input type="checkbox"/>	Utility's Letter of Authorization*	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/>	Utility's Aggregated Consumption Data Request	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp National Grid: http://www.nyc.gov/html/gbee/downloads/pdf/2017_national_grid_nyc_benchmarking_data_request_form.pdf
<input type="checkbox"/>	Copy of utility bill for project address and account numbers	Applicant/Developer
<input type="checkbox"/>	Partner must provide "lease-up" date (date when the building will be occupied)	Partner/Applicant

* The signatory of this Authorization Form must be the utility account holder

4.2 Software Requirements

The modeling software used to determine the project's energy savings must satisfy the requirements detailed in ASHRAE 90.1-2010 Appendix G simulation and documentation requirements, as modified in the ENERGY STAR MFHR Simulation Guidelines. The Simulation Guidelines contains a list of examples of simulation programs that meet the requirements. The Simulation Guidelines can be obtained from the following ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

4.3 Associated Documents

4.3.1 Building Performance Plan

The Building Performance Plan (BPP) is the comprehensive reporting tool generated, populated and submitted by the Applicant and Partner to NYSERDA. It documents general information about the project, details regarding the project's scope of work and achievement of the performance target. In addition, the BPP collects project-level cost information for Tier 3 projects. The BPP is a Microsoft Excel spreadsheet that assists the Partner in analyzing model inputs. It incorporates the ENERGY STAR MFHR Simulation Guidelines Appendix, as well as tabs that report information to NYSERDA and the EPA. Instruction tabs within that document provide further information.

4.3.2 Testing and Verification Protocols and Worksheets

Projects following the Performance Path are required to comply with the ENERGY STAR MFHR Testing & Verification Protocols. The ENERGY STAR MFHR Testing & Verification Protocols are mandatory requirements for the inspection, testing, and verification of components related to the project's energy performance. All inspections, diagnostic tests, and photo documentation described within the Protocols are required for each of the participating project's components and systems. Results of testing and verification must be documented in the ENERGY STAR MFHR Testing & Verification Worksheets and ENERGY STAR MFHR Photo Template. The ENERGY STAR MFHR Testing & Verification Protocols, Worksheets, and Photo Template can be obtained from the following ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

4.3.3 ENERGY STAR MFHR Performance Path Prerequisites

Projects following the Performance Path are required to comply with the ENERGY STAR MFHR Performance Path Prerequisites. Though the MF NCP Performance Path is performance-based and does allow trade-offs between various building components, the ENERGY STAR MFHR Performance Path Prerequisites provide a lower limit to the trade-offs for many building components. The ENERGY STAR MFHR Performance Path Prerequisites can be obtained from the following ENERGY STAR website:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

4.3.4 Simulation Guidelines

The ENERGY STAR MFHR Simulation Guidelines is a companion document to ASHRAE 90.1 Appendix G. It contains the methodology to assist Partners in developing the Baseline Building Design, Proposed Building

Design, and As-Built models for each project. These Simulation Guidelines are published by the EPA at their ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

4.3.4.1 Compliance with ENERGY STAR MFHR Program

All projects following the Performance Path shall demonstrate the EPA's ENERGY STAR Multifamily High Rise (MFHR) program requirements have been met by following the EPA's ENERGY STAR MFHR Simulation Guidelines.

4.3.4.2 Compliance with MF NCP Tier 2 and Tier 3 Performance Thresholds

To demonstrate compliance with the MF NCP performance thresholds for Tier 2 and 3 Performance path projects, which are above and beyond the minimum ENERGY STAR requirements, the following guidance must be followed.

Calculating Performance Rating, based on Source Energy

The Proposed Building Performance and Baseline Building Performance must each be calculated as the sum of predicted **source energy use** by end use, not energy cost, as required to demonstrate compliance with the EPA's program. The site energy consumption for each end use shall be taken from the report generated by the simulation program as described in Section G1.4 of Appendix G.

To determine the project's Performance Rating, follow the steps in the EPA's ENERGY STAR Simulation Guidelines Section 3.2, except in lieu of converting the site energy consumption to energy cost, convert the site energy consumption to source energy consumption, using the appropriate source-to-site energy conversions for each fuel type using the following source-to-site conversion factors shown below.

Energy Type	Source-to-Site Ratio
Electricity (grid purchase)	2.55
Natural gas	1.05
Fuel oil	1.01
Propane	1.01

Air sealing

Projects *may* pursue performance credit for air sealing. To receive this credit, the actual air leakage rate measured during the inspection phase of the project as part of the ENERGY STAR MFHR Testing and Verification Protocols conducted on the building, must be below 0.4 cfm/ft² at 75 Pa. To model the energy savings, the air leakage rate used to calculate the infiltration rates for the *Baseline Building Design* shall be 0.4 cfm/ft² at 75 Pa. In the Modeling submittal, the air leakage rate used to calculate the infiltration rates must be no less than 0.35 CFM/ft² at 75 Pa for the *Proposed Design*. In the As-Built model, the actual measured air leakage rate shall be used to calculate the infiltration rates for the *Proposed Design*. The air leakage rate of the building envelope shall be converted to appropriate units for the simulation program using one of the methods in ASHRAE 90.1-2013 Section G3.1.1.4.

Note: Currently, the ENERGY STAR MFHR Program does not allow this measure for projects following ASHRAE 90.1-2010. As such, projects following ASHRAE 90.1-2010 must be able to meet the MFHR performance rating target of 15% without this credit.

4.4 Quality Control (QC) Processes

NYSERDA and its designees may perform two different types of QC on each MF NCP project: technical reviews and site inspections. This section explains how these apply to projects following the Performance Path.

4.4.1 Technical Reviews

The technical review process occurs at the Modeling and As-Built stages of each Performance Path project. The intent is to provide a thorough technical review of the submittal documents and verify that the project is meeting the performance target, in addition to meeting all requirements of the ENERGY STAR MFHR Performance Path

Prerequisites. Failure to meet the performance target and all requirements of the ENERGY STAR MFHR Performance Path Prerequisites will result in termination of the project.

If the submittal for any stage is not accepted, NYSERDA or the Technical Reviewer may provide comments in a review document identifying the issues of each submittal revision. The Partner should review all comments, and find and correct the errors causing each identified issue or explain why an identified issue is justified. When all issues are resolved, the Partner should respond to the Technical Reviewer's comments in the review document and include it in the next revision of the submittal.

It is the Partner's responsibility to identify any modeling issues causing the identified issues and to resolve them. MF NCP staff are available to provide any needed technical assistance if the Partner is having difficulties. However, Partners are encouraged to first use the following resources during their technical review process:

- *Partner Guidance for Technical Review Process*: This document is available to all Partners on NYSERDA's website to assist the Partner throughout the entire technical review submittal process. It includes information about internal QC procedures, common modeling issues, strategies for resolving issues, and how to verify measure savings are reasonable.
- *End Use Comparison Tool*: This tool allows Partners to compare the energy consumption of the project they are currently working on to the average energy consumption of past NYSERDA funded multifamily projects. The tool will flag any end use that falls outside of the typical range. It is updated regularly and emailed to Partners.

All Partners are expected to QC their work and to submit a high-quality model along with fully completed tools and documents. Partner status may be affected if a good-faith effort is not made. If at any time during the technical review process, NYSERDA or its designee deems the submittal as incomplete or missing information, the submittal will be rejected and sent back to the Partner to resubmit.

At the Energy Modeling Stage, NYSERDA's designated MF NCP Technical Reviewer may review the energy model, Building Performance Plan, and ENERGY STAR MFHR Testing & Verification Worksheets to verify that all requirements listed in the ENERGY STAR MFHR Performance Path Prerequisites have been met in addition to meeting the performance target. Additionally, the Technical Reviewer may verify that simulation outputs are reasonable, evaluate the general quality of the model, review submittal documents to ensure that ASHRAE 90.1 Appendix G and the ENERGY STAR MFHR Simulation Guidelines were followed, and evaluate whether the projected savings are consistent with the features of the design.

At the As-Built stage, the Technical Reviewer may also review the model, Building Performance Plan, and ENERGY STAR MFHR Testing & Verification Worksheets as during the Modeling stage. Additionally, the Technical Reviewer will review the ENERGY STAR MFHR Photo Template to ensure that all submittals reflect the installed conditions.

4.4.2 Site Inspections

Open Wall site inspections may be performed by a NYSERDA-designated MF NCP Site Inspector on all Performance Path projects.

Partner and Applicant representatives are required to attend the site inspections. These representatives must have detailed knowledge of the project and must be prepared to answer any project-related questions that arise.

The Partner must submit the Open Wall Submittal to the NYSERDA-designated liaison at least two weeks prior to the Open Wall Milestone. The Partner must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the inspection.

The Open Wall Milestones are based on the type of installed above-grade wall insulation:

- Exterior insulation: Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Insulated concrete form (ICF): Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Exterior Insulation and Finishing Systems (EIFS): Inspection should occur when 30% of the EIFS has been installed.
- Interior insulation only: Inspection should occur when 30% of insulation is installed and visible.
- Exterior insulation with interior insulation: Inspection should occur when 30% of interior insulation is installed and visible.
- Pre-fabricated exterior wall assemblies and modular construction: Inspection should occur when 30% of the pre-fabricated assemblies have been installed on-site. The Partner may need to visit the pre-fabrication facility to complete required testing and verification. The Partner must provide photo documentation of components that will not be visible during the Open Wall inspection.

The Partner must contact the NYSERDA-designated liaison early in construction to determine the Open Wall Milestone for projects with above-grade wall insulation types or combinations not listed here.

If the Partner fails to submit the Open Wall Submittal at least two weeks prior to the Open Wall Milestone or the Partner/Applicant is unresponsive to attempts to schedule the Open Wall inspection, the project will be required to expose sections of walls for inspection and all remaining incentive payments will be in jeopardy.

The Site Inspector may ask to see the construction drawings while on site to verify the planned installation of any components that the Site Inspector cannot inspect because either it has been covered or installation has not commenced.

For any completed component no longer visible during the inspection (below-grade exterior insulation, roof insulation, pre-fabricated assembly items, etc.), the Partner must submit photographs using the ENERGY STAR MFHR Photo Template before the Inspection Report can be approved.

The Site Inspector may inspect all installed measures from the Detailed Measures tab of the BPP table, as well as all installed ENERGY STAR MFHR Performance Path Prerequisites. The Site Inspector may develop a report detailing the Open Wall Inspection findings, which the NYSERDA-designated liaison will return to the Partner. The report may contain Additional Requirements or Action Items for measures and prerequisites. Additional Requirements can be resolved at the As-Built submittal. Action Items must be resolved before the Open Wall Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

If severe violations of the ENERGY STAR MFHR Performance Path Prerequisites are discovered during this inspection, NYSERDA and its Site Inspector reserve the right to request that the Partner instruct the construction team to remove sections of sealed walls to fully inspect insulation and air sealing components. Additionally, NYSERDA and the Site Inspector reserve the right to require a second Open Wall inspection to take place once all the required corrections are complete.

Failure to meet the requirements of this Open Wall Inspection may result in termination of the project.

4.5 Additional Requirements

4.5.1 ENERGY STAR Benchmarking

Building performance is as much a function of proper building management as the design and construction. Therefore, after earning the ENERGY STAR for the project, the developer or building owner must commit to benchmarking their building in Portfolio Manager for a period of two years to maintain their listing on the ENERGY STAR website.

Portfolio Manager is an online, interactive energy management tool that allows Applicants to measure and track their building's energy and water consumption, identify investment priorities, and verify improvements over time. Multifamily housing communities can use Portfolio Manager to track weather-normalized energy use intensity (EUI), energy costs, greenhouse gas emissions, and water consumption. For more information on how to use Portfolio Manager, see the Portfolio Manager – Multifamily Housing Quick Reference Guide document at the following ENERGY STAR website:

https://www.energystar.gov/ia/business/multifam_housing/QRG_Multifamily_Housing.pdf

To accomplish this goal, the developer, building owner, or an entity working on their behalf must have the capability to evaluate utility consumption of the residential-associated spaces independent of any commercial/retail space. These non-residential associated parts of the building shall be separately metered (or sub-metered) for electricity, gas, fuel oil, water, steam, and hot water for domestic and/or space heating purposes. The developer or building owner should also work with tenants to secure consumption information. If the building is direct-metered for utilities to the apartments, the building owner must secure signed releases from individual apartment occupants to allow for benchmarking. In addition, the building owner must provide a signed release for the common area/whole-building utility meters. All data uploaded to Portfolio Manager is strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments.

NOTE: Receipt of NYSERDA incentives and the ENERGY STAR will not be delayed due to this EPA requirement.

4.5.2 Gut Rehabilitation Projects

Gut rehabilitation projects following the Performance Path must meet the same requirements as newly constructed buildings. There are no allowances or exceptions for gut rehabilitation projects under the Performance Path.

For projects that are permitted under ECCC NYS 2014, the Performance Path relies on the modeling requirements of ASHRAE 90.1-2010 Appendix G, as supplemented by the ENERGY STAR MFHR Simulation Guidelines. ASHRAE 90.1-2010 Appendix G Table G3.1 does allow the following adjustment: for existing building envelopes, the baseline building design shall reflect existing conditions prior to any revisions that are part of the scope of work being evaluated. This is allowed for Tier 1 and 2 projects permitted under ECCC NYS 2014, but not allowed for any Tier 3 projects.

For projects that are permitted under ECCC NYS 2016, the Performance Path relies on the modeling requirements of ASHRAE 90.1-2013 Appendix, as defined by ECCC NYS 2016. ASHRAE 90.1-2013 Appendix G Table G3.1 does not include this allowance.

5 Passive House Institute US (PHIUS)

The following section describes the requirements of the Passive House Institute US (PHIUS) path. Please reference Appendix A of this document for the PHIUS path Process Flow Chart.

5.1 Submittal Requirements

For the Applicant to receive the NYSERDA incentives approved for their project, the Partner must submit the required documentation as detailed in the Stages below. These submittals may be reviewed by NYSERDA or its designee. The three submittal Stages are described below. The incentives will only be paid if these submittals are approved by NYSERDA. All documents listed in this section must be submitted to the project's assigned NYSERDA-designated liaison and approved by NYSERDA.

5.1.1 Stage 1: Energy Modeling Submittal

The first NYSERDA incentive is available to the Applicant when the project has reached design completion and NYSERDA has approved the Energy Modeling Submittal. This submittal must show that the project achieves the performance thresholds and meets the requirements of the PHIUS+ Multifamily Certification Standard. If the energy model does not project the required performance thresholds, the Partner must contact the NYSERDA-designated liaison prior to submittal. The Applicant must show that a Certified Passive House Consultant (CPHC) and a PHIUS+ Verifier have been hired to work on this project to be eligible for this incentive. Additionally, the project must be pre-certified by PHIUS prior to submittal to NYSERDA.

The Energy Modeling Submittal must be submitted no later than 30 days after the project has received PHIUS pre-certification. The proof of pre-certification shall be submitted to the project's NYSERDA-designated liaison upon receipt.

	Documents Required for Stage 1:	Document Obtained From:
<input type="checkbox"/>	Applicant-Partner Contract (signed by both parties)	Partner created document
<input type="checkbox"/>	LMI Documentation (if not previously submitted)	See Table 2.1
<input type="checkbox"/>	Proposed BPP	NYSERDA's website
<input type="checkbox"/>	WUFI modeling files	PHIUS
<input type="checkbox"/>	Proof of Pre-certification	PHIUS
<input type="checkbox"/>	Complete Construction Documents (CDs)	Applicant/Developer/Design Team

5.1.2 Stage 2: Open Wall Submittal

The second NYSERDA incentive is available to the Applicant when NYSERDA has approved the Open Wall Submittal and Site Inspection Report. The Partner must submit a complete Open Wall Submittal to the NYSERDA-designated liaison at least two weeks before the project reaches the Open Wall Milestone. This gives NYSERDA's designated MF NCP Site Inspector time to properly schedule the Open Wall inspection. The purpose of this inspection is to verify that typical Open Wall components are installed in accordance with MF NCP requirements. This includes measures from the proposed Building Performance Plan (BPP).

	Documents Required for Stage 2:	Document Obtained From:
<input type="checkbox"/>	Site Inspection Request Form (Attachment F)	NYSERDA's website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	PHIUS+ Quality Control Workbook for Multifamily Projects	PHIUS

5.1.3 Stage 3: As-Built Submittal

The third NYSERDA incentive is available to the Applicant when the project construction is complete and NYSERDA has approved the As-Built Submittal and Data Release Authorization Forms (DRAFTs). This submittal must show that the project meets or exceeds the performance thresholds specified in its approved performance

tier and meets the requirements of the PHIUS+ Multifamily Certification Standard. The submitted WUFI model file must have been reviewed and approved by PHIUS prior to submittal to NYSERDA. If the project does not meet the performance thresholds, the Partner must contact the NYSERDA-designated liaison prior to submittal.

The Partner must work with the Applicant to determine whether to submit Tenant DRAFs (Attachment H) or to follow the alternative process to allow the NYSERDA-designated liaison to access the utility consumption information directly.

- DRAFs: All projects are eligible to follow the DRAF process. The Partner must submit the Owner DRAF (Attachment G), which must include utility information for all common areas of the building, and Tenant DRAFs (Attachment H), which must include utility information for a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five apartments. Of the 10 percent sample, at least one of each apartment type (e.g., studio, 1 bedroom, large 1 bedroom) must be represented. Additionally, a list of all apartment numbers and their corresponding apartment type (e.g. studio, large 1 bedroom) must be provided.
- As an alternative to submitting the Tenant DRAFs (Attachment H) and associated list of apartments, the Applicant must complete and sign the utility’s Letter of Authorization and send it and a copy of the building’s utility bill to the Partner. The Partner must then complete the application tab of the utility’s Aggregated Consumption Data Request form, compile all documents, including the Owner DRAF (Attachment G), and submit to the NYSERDA-designated liaison. To be eligible to follow this approach, the project’s electric and/or gas utility must provide aggregated data. All data is kept confidential as per NYSERDA’s guidelines and regulations, and only used to estimate the energy performance of the whole building, not of individual apartments.

Documents Required for Stage 3:

Document Obtained From:

<input type="checkbox"/>	As-Built BPP	NYSERDA’s website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	PHIUS+ Quality Control Workbook for Multifamily Projects	PHIUS
<input type="checkbox"/>	WUFI modeling files	PHIUS
<input type="checkbox"/>	PHIUS+ Certificate	PHIUS

DRAF Documents :

<input type="checkbox"/>	Owner DRAF (Attachment G) (for all common area utility accounts) (executed)	NYSERDA’s website
<input type="checkbox"/>	Tenant DRAFs (Attachment H) (executed)	NYSERDA’s website
<input type="checkbox"/>	List of each apartment number and type (e.g., studio, 1 bedroom)	Partner created document

Alternative utility account document submittal requirements, if Tenant DRAF Documents and list of sample apartments are not submitted:

<input type="checkbox"/>	Owner DRAF (Attachment G) (for all common area utility accounts) (executed)	NYSERDA’s website
<input type="checkbox"/>	Utility’s Letter of Authorization*	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/>	Utility’s Aggregated Consumption Data Request	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp National Grid: http://www.nyc.gov/html/gbee/downloads/pdf/2017_national_grid_nyc_benchmarking_data_reques

		t_form.pdf
<input type="checkbox"/>	Copy of utility bill for project address and account numbers	Applicant/Developer
<input type="checkbox"/>	Partner must provide "lease-up" date (date when the building will be occupied)	Partner/Applicant

* The signatory of this Authorization Form must be the utility account holder

5.2 Software Requirements

All MF NCP projects pursuing the PHIUS path must model the project using WUFI Version 3.0.3.0, 3.1.0, or 3.1.1 and following PHIUS+ Multifamily Certification Standard Book V1.01. The use of other versions of WUFI software or certification standard is subject to MF NCP review, must receive pre-approval by NYSERDA, and may result in a change to the performance threshold.

5.3 Associated Documents

5.3.1 Building Performance Plan

The Building Performance Plan (BPP) is the comprehensive reporting tool generated, populated and submitted by the Applicant and Partner to NYSERDA. It documents general information about the project, details regarding the project's scope of work and achievement of the performance target. In addition, the BPP collects project-level cost information for Tier 3 projects, and verification that a Certified Passive House Consultant (CPHC) and a PHIUS+ Verifier have been hired by the Applicant. The BPP is a Microsoft Excel spreadsheet that assists the Partner in analyzing model inputs and documents data necessary for NYSERDA reporting.

5.3.2 Testing & Verification documents

In addition to following all requirements of the PHIUS Passive House certification, projects following the PHIUS path are also required to document the results of testing and verification in the ENERGY STAR MFHR Photo Template. The Photo Template can be obtained from the following ENERGY STAR website:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

5.4 Quality Control (QC) Processes

NYSERDA and its designees may perform two different types of QC on each MF NCP project: technical reviews and site inspections. This section explains how these apply to projects following the PHIUS path.

5.4.1 Technical Review

The technical review process occurs at the Modeling and As-Built stages of each project pursuing PHIUS+ certification. The intent is to provide a thorough technical review of the submittal documents and verify that the project is meeting all MF NCP requirements. Failure to meet the performance thresholds and all MF NCP requirements may result in termination of the project.

If the submittal for any stage, is not accepted, NYSERDA or the Technical Reviewer may provide comments in a review document identifying the issues of each submittal revision. The Partner should review all comments, and find and correct the errors causing each identified issue or explain why an identified issue is justified. When all issues are resolved, the Partner should respond to the Technical Reviewer's comments in the review document and include it in the next revision of the submittal.

All Partners are expected to QC their work and to submit a high-quality model along with fully completed tools and documents. Partner status may be affected if a good-faith effort is not made. If at any time during the technical review process NYSERDA or its designee deems the submittal as incomplete or missing significant information, the submittal will be rejected and sent back to the Partner to resubmit.

At the Energy Modeling Stage, NYSERDA-designated MF NCP Technical Reviewer may review the model, the Building Performance Plan, and PHIUS+ Quality Control Workbook for Multifamily Projects to verify that all MF NCP requirements have been met, in addition to meeting the performance thresholds. Additionally, the Technical

Reviewer may verify that simulation outputs are reasonable, evaluate the general quality of the model, and evaluate whether the projected energy use is consistent with the features of the design.

At the As-Built stage, the Technical Reviewer may also review the model, the Building Performance Plan, and PHIUS+ Quality Control Workbook for Multifamily Projects as during the Modeling stage. Additionally, the Technical Reviewer may review the ENERGY STAR MFHR Photo Template to ensure that all submittals reflect the installed conditions.

5.4.2 Site Inspections

Open Wall inspections may be performed by a NYSERDA-designated MF NCP Site Inspector on all projects pursuing PHIUS+ certification.

Partner and Applicant representatives are required to attend these site inspections. These representatives must have detailed knowledge of the project and must be prepared to answer any project-related questions that arise.

The Partner must submit the Open Wall Submittal to the NYSERDA-designated liaison at least two weeks prior to the Open Wall Milestone. The Partner must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the inspection.

The Open Wall Milestones are based on the type of installed above-grade wall insulation:

- Exterior insulation: Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Insulated concrete form (ICF): Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Exterior Insulation and Finishing Systems (EIFS): Inspection should occur when 30% of the EIFS has been installed.
- Interior insulation only: Inspection should occur when 30% of insulation is installed and visible.
- Exterior insulation with interior insulation: Inspection should occur when 30% of interior insulation is installed and visible.
- Pre-fabricated exterior wall assemblies and modular construction: Inspection should occur when 30% of the pre-fabricated assemblies have been installed on-site. The Partner may need to visit the pre-fabrication facility to complete required testing and verification. The Partner must provide photo documentation of components that will not be visible during the Open Wall inspection.

The Partner must contact the NYSERDA-designated liaison early in construction to determine the Open Wall Milestone for projects with above-grade wall insulation types or combinations not listed here.

If the Partner fails to submit the Open Wall Submittal at least two weeks prior to the Open Wall Milestone or the Partner/Applicant is unresponsive to attempts to schedule the Open Wall inspection, the project will be required to expose sections of walls for inspection and all remaining incentive payments will be in jeopardy.

The Site Inspector may ask to see the construction drawings while on site to verify any component listed on the Open Wall Checklist that the Site Inspector cannot inspect because either it has been covered or installation has not commenced.

For any completed component no longer visible during the inspection (below-grade exterior insulation, roof insulation, pre-fabricated assembly items, etc.), the Partner must submit photographs using the ENERGY STAR MFHR Photo Template before the Inspection Report can be approved.

The Site Inspector may inspect all installed measures from the BPP. The Site Inspector may develop a report detailing the Open Wall Inspection findings, which the NYSERDA-designated liaison will return to the Partner. The report may contain Additional Requirements or Action Items for measures and prerequisites or requirements.

Additional Requirements can be resolved at the As-Built submittal. Action Items must be resolved before the Open Wall Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

If severe violations of the BPP are discovered during this inspection, NYSERDA and the Site Inspector reserve the right to request that the Partner instruct the construction team to remove sections of sealed walls to fully inspect insulation and air sealing components. Additionally, NYSERDA and its representatives reserve the right to require a second Open Wall inspection to take place once all the required corrections are complete.

Failure to meet the requirements of this Open Wall Inspection may result in termination of the project

5.5 Additional Requirements

5.5.1 Modeling Guidelines

All MF NCP projects following the PHIUS path shall follow the PHIUS+ Multifamily Certification Standard Book V1.01, with the following additional requirements:

- Any deviations from program defaults for operating assumptions, such as source-to-site conversion, plug loads and hours of operation, are subject to review and must be specifically noted in the BPP.
- If a project includes an HVAC configuration or system type that cannot be explicitly modeled in the WUFI software, the Partner or CPHC must work directly with PHIUS staff to ensure that the energy use of that system is accurately captured in the model.
- Any calculations performed outside of the approved version of WUFI, including but not limited to HVAC systems that are not directly supported, capturing power of continuously running fans integral to heating/cooling units, methodology for aggregating heating systems of different types or efficiency for input into WUFI, etc. must be included in the NYSERDA submittal and are subject to NYSERDA approval.

At the Applicants and Partners option, the model used to show compliance with the MF NCP Tier 3 performance thresholds, which are above and beyond minimum PHIUS certification requirements, may choose to alter their model as follows. Note the project is still required to meet all PHIUS certification requirements without this allowance.

- When calculating the Primary Energy Demand metric to determine a project's compliance with the performance thresholds specified in its approved performance tier, the project may choose to exclude the energy use associated with optional amenities, including dishwashers, laundry facilities, and exterior lighting. If excluded, however, that component must, at minimum, meet the modified prescriptive path requirement for that component as defined in the Modified Prescriptive Path Requirements (Attachment E) (e.g., dishwashers and clothes washers must be ENERGY STAR® certified). Additional optional amenities, such as vending machines, on-site gym equipment, etc. may be excluded with prior NYSERDA approval.

5.5.2 ENERGY STAR Benchmarking

NYSERDA requires benchmarking for all PHIUS path projects. Building performance is as much a function of proper building management as the energy conservation measures incorporated into the structure. Therefore, after completing the MF NCP project, the developer or building owner must commit to benchmarking their building in Portfolio Manager.

Portfolio Manager is an online, interactive energy management tool that allows Applicants to measure and track their building's energy and water consumption, identify investment priorities, and verify improvements over time. Multifamily housing communities can use Portfolio Manager to track weather-normalized energy use intensity (EUI), energy costs, greenhouse gas emissions, and water consumption. For more information on how to use Portfolio Manager, see the Portfolio Manager – Multifamily Housing Quick Start Guide document at the following ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_benchmarking

To accomplish this goal, the developer, building owner, or an entity working on their behalf must have the capability to evaluate the utility consumption of the residential-associated spaces independent of any commercial/retail space. These non-residential associated parts of the building shall be separately metered (or

sub-metered) for electricity, gas, fuel oil, water, steam, and hot water for domestic and/or space heating purposes. The developer or building owner should also work with tenants to secure consumption information. If the building is direct-metered for utilities to the apartments, the building owner must secure signed releases from individual apartment occupants to allow for benchmarking. In addition, the building owner must provide a signed release for the common area/whole-building utility meters. All data uploaded to Portfolio Manager is strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments.

6 Passive House Institute (PHI)

The following section describes the requirements of the Passive House Institute (PHI) path. Please reference Appendix A of this document for the PHI Path Process Flow Chart.

6.1 Submittal Requirements

For the Applicant to receive the NYSERDA incentives approved for their project, the Partner must submit the required documentation as detailed in the Stages below. These submittals may be reviewed by NYSERDA or its designee. The three submittal Stages are described below. The incentives will only be paid if these submittals are approved by NYSERDA. All documents listed in this section must be submitted to the project's assigned NYSERDA-designated liaison and approved by NYSERDA.

6.1.1 Stage 1: Energy Modeling Submittal

The first NYSERDA incentive is available to the Applicant when the project has reached design completion and NYSERDA has approved the Energy Modeling Submittal. This submittal must show that the project achieves the primary energy demand thresholds and meets the requirements of PHI Passive House standard. If the energy model does not project the performance threshold, the Partner must contact the NYSERDA-designated liaison prior to submittal. The Applicant must show that a PHI Consultant or Designer and PHI Certifier have been hired to work on this project to be eligible for this incentive. Additionally, the submitted PHPP modeling file must have been reviewed and found to be compliant with the PHI standard by both the PHI Consultant or Designer and Certifier prior to submittal to NYSERDA.

The Energy Modeling Submittal must be submitted no later than 30 days after the project has received PHI pre-certification. The proof of pre-certification shall be submitted to the project's NYSERDA-designated liaison upon receipt.

	Documents Required for Stage 1:	Document Obtained From:
<input type="checkbox"/>	Applicant-Partner Contract (signed by both parties)	Partner created document
<input type="checkbox"/>	LMI Documentation (if not previously submitted)	See Table 2.1
<input type="checkbox"/>	Proof of Pre-certification	PHI
<input type="checkbox"/>	Proposed BPP	NYSERDA's website
<input type="checkbox"/>	PHPP v9.5 modeling files	PHI
<input type="checkbox"/>	Complete Construction Documents (CDs)	Applicant/Developer/Design Team

6.1.2 Stage 2: Open Wall Submittal

The second NYSERDA incentive is available to the Applicant when NYSERDA has approved the Open Wall Submittal and Site Inspection Report. The Partner must submit a complete Open Wall Submittal to the NYSERDA-designated liaison at least two weeks before the project reaches the Open Wall Milestone. This gives the NYSERDA-designated MF NCP Site Inspector time to properly schedule the Open Wall inspection. The purpose of this inspection is to verify that typical Open Wall components are installed in accordance with MF NCP requirements. This includes measures from the proposed Building Performance Plan (BPP).

	Documents Required for Stage 2:	Document Obtained From:
<input type="checkbox"/>	Site Inspection Request Form (Attachment F)	NYSERDA's website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA

6.1.3 Stage 3: As-Built Submittal

The third NYSERDA incentive is available to the Applicant when the project construction is complete and NYSERDA has approved the As-Built Submittal, and Data Release Authorization Forms (DRAFTs). This submittal

must show that the project meets or exceeds the performance thresholds specified in its approved performance tier and meets the requirements of the PHI Passive House standard. The submitted PHPP model file must have been reviewed and approved by both the PHI Consultant/Designer and Certifier prior to submittal to NYSERDA. If the project does not meet the performance thresholds, the Partner must contact the NYSERDA-designated liaison prior to submittal.

The Partner must work with the Applicant to determine whether to submit Tenant DRAFs (Attachment H) or to follow the alternative process to allow the NYSERDA-designated liaison to access the utility consumption information directly.

- DRAFs: All projects are eligible to follow the DRAF process. The Partner must submit the Owner DRAF (Attachment G), which must include utility information for all common areas of the building, and Tenant DRAFs (Attachment H), which must include utility information for a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five apartments. Of the 10 percent sample, at least one of each apartment type (e.g., studio, 1 bedroom, large 1 bedroom) must be represented. Additionally, a list of all apartment numbers and their corresponding apartment type (e.g. studio, large 1 bedroom) must be provided.
- As an alternative to submitting the Tenant DRAFs (Attachment H) and associated list of apartments, the Applicant must complete and sign the utility’s Letter of Authorization and send it and a copy of the building’s utility bill to the Partner. The Partner must then complete the application tab of the utility’s Aggregated Consumption Data Request form (if applicable), compile all documents, including the Owner DRAF (Attachment G), and submit to the NYSERDA-designated liaison. All data is kept confidential as per NYSERDA’s guidelines and regulations, and only used to estimate the energy performance of the whole building, not of individual apartments. To be eligible to follow this approach, the project’s electric and/or gas utility must provide aggregated data.

Documents Required for Stage 3:		Document Obtained From:
<input type="checkbox"/>	As-Built BPP	NYSERDA’s website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA
<input type="checkbox"/>	PHPP v9.5 modeling files	PHI
<input type="checkbox"/>	PHI Certificate	PHI

DRAF Documents:

<input type="checkbox"/>	Owner DRAF (Attachment G) (for all common area utility accounts) (executed)	NYSERDA’s website
<input type="checkbox"/>	Tenant DRAFs (Attachment H) (executed)	NYSERDA’s website
<input type="checkbox"/>	List of each apartment number and type (e.g., studio, 1 bedroom)	Partner created document

Alternative utility account document submittal requirements, if Tenant DRAF Documents and list of sample apartments are not submitted:

<input type="checkbox"/>	Owner DRAF (Attachment G) (for all common area utility accounts) (executed)	NYSERDA’s website
<input type="checkbox"/>	Utility’s Letter of Authorization*	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/>	Utility’s Aggregated Consumption Data Request	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp

		National Grid: http://www.nyc.gov/html/gbee/downloads/pdf/2017_national_grid_nyc_benchmarking_data_request_form.pdf
<input type="checkbox"/>	Copy of utility bill for project address and account numbers	Applicant/Developer
<input type="checkbox"/>	Partner must provide "lease-up" date (the date when the building will be occupied)	Partner/Applicant

* The signatory of this Authorization Form must be the utility account holder

6.2 Software Requirements

All MF NCP projects pursuing the PHI path must model the project using PHPP Version 9.5 and following PHI Passive House Standard v9.5 – PH Classic. The use of other versions of PHPP software or certification standard is subject to MF NCP review, must receive pre-approval by NYSERDA, and may result in a change to the performance thresholds.

6.3 Associated Documents

6.3.1 Building Performance Plan

The Building Performance Plan (BPP) is the comprehensive reporting tool generated, populated and submitted by the Applicant and Partner to NYSERDA. It documents general information about the project, details regarding the project's scope of work and achievement of the performance target. In addition, the BPP collects project-level cost information for Tier 3 projects, and verification that a PHI Consultant or Designer and a PHI Certifier have been hired by the Applicant. The BPP is a Microsoft Excel spreadsheet that assists the Partner in analyzing model inputs and documents data necessary for NYSERDA reporting.

6.3.2 Testing and Verification Worksheets

MF NCP projects following the PHI compliance path are required to report all performance testing results in the ENERGY STAR MFHR Testing & Verification Worksheets and ENERGY STAR MFHR Photo Template. Note that where the requirements stated in the Testing & Verification Worksheets conflict with PHI requirements, the PHI requirement stands.

The ENERGY STAR MFHR Testing & Verification Worksheets and Photo Template can be obtained from the following ENERGY STAR website:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

6.4 Quality Control (QC) Processes

NYSERDA and its designees may perform two different types of QC on each MF NCP project: technical reviews and site inspections. This section explains how these apply to projects following the PHI path.

6.4.1 Technical Review

The technical review process occurs at the Modeling and As-Built stages of each PHI path project. The intent is to provide a thorough technical review of the submittal documents and verify that the project is meeting all MF NCP requirements. Failure to meet the performance thresholds and all MF NCP requirements will result in termination of the project.

If the submittal for any stage is not accepted, NYSERDA or the Technical Reviewer may provide comments in a review document identifying the issues of each submittal revision. The Partner should review all comments, and find and correct the errors causing each identified issue or explain why an identified issue is justified. When all issues are resolved, the Partner should respond to the Technical Reviewer's comments in the review document and include it in the next revision of the submittal.

All Partners are expected to QC their work and to submit a high-quality model along with fully completed tools and documents. Partner status may be affected if a good-faith effort is not made. If at any time during the technical review process NYSERDA or its designee deems the submittal as incomplete or missing information, the submittal will be rejected and sent back to the Partner to resubmit.

At the Energy Modeling Stage, the NYSERDA-designated MF NCP Technical Reviewer may review the model, the Building Performance Plan, and ENERGY STAR MFHR Testing & Verification Worksheets to verify that all MF NCP requirements have been met, in addition to meeting the performance thresholds. Additionally, the Technical Reviewer may verify that simulation outputs are reasonable, evaluate the general quality of the model, and evaluate whether or not the projected energy use is consistent with the features of the design.

At the As-Built stage, the Technical Reviewer may also review the model, the Building Performance Plan, and ENERGY STAR MFHR Testing & Verification Worksheets as during the Modeling stage. Additionally, the Technical Reviewer may review the ENERGY STAR MFHR Photo Template to ensure that all submittals reflect the installed conditions.

6.4.2 Site Inspections

Open Wall inspections may be performed by the NYSERDA-designated MF NCP Site Inspector on all projects pursuing PHI certification.

Partner and Applicant representatives are required to attend these site inspections. These representatives must have detailed knowledge of the project and must also be prepared to answer any project-related questions that arise.

The Partner must submit the Open Wall Submittal to the NYSERDA-designated liaison at least two weeks prior to the Open Wall Milestone. The Partner must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the inspection.

The Open Wall Milestones are based on the type of installed above-grade wall insulation:

- Exterior insulation: Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Insulated concrete form (ICF): Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Exterior Insulation and Finishing Systems (EIFS): Inspection should occur when 30% of the EIFS has been installed.
- Interior insulation only: Inspection should occur when 30% of insulation is installed and visible.
- Exterior insulation with interior insulation: Inspection should occur when 30% of interior insulation is installed and visible.
- Pre-fabricated exterior wall assemblies and modular construction: Inspection should occur when 30% of the pre-fabricated assemblies have been installed on-site. The Partner may need to visit the pre-fabrication facility to complete required testing and verification. The Partner must provide photo documentation of components that will not be visible during the Open Wall inspection.

The Partner must contact the NYSERDA-designated liaison early in construction to determine the Open Wall Milestone for projects with above-grade wall insulation types or combinations not listed here.

If the Partner fails to submit the Open Wall Submittal at least two weeks prior to the Open Wall Milestone or the Partner/Applicant is unresponsive to attempts to schedule the Open Wall inspection, the project will be required to expose sections of walls for inspection and all remaining incentive payments will be in jeopardy.

The Site Inspector may ask to see the construction drawings while on site to verify any component listed on the Open Wall Checklist that the Site Inspector cannot inspect because either it has been covered or installation has not commenced.

For any completed component no longer visible during the inspection (below-grade exterior insulation, roof insulation, pre-fabricated assembly items, etc.), the Partner must submit photographs using the ENERGY STAR MFHR Photo Template before the Inspection Report can be approved.

The Site Inspector may inspect all installed measures from the BPP. The Site Inspector may develop a report detailing the Open Wall Inspection findings, which the NYSERDA-designated liaison will return to the Partner. The report may contain Additional Requirements or Action Items for measures and prerequisites or requirements. Additional Requirements can be resolved at the As-Built submittal. Action Items must be resolved before the Open Wall Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

If severe violations of the BPP are discovered during this inspection, NYSERDA and the Site Inspector reserve the right to request that the Partner instruct the construction team to remove sections of sealed walls to fully inspect insulation and air sealing components. Additionally, NYSERDA and its representatives reserve the right to require a second Open Wall inspection to take place once all the required corrections are complete.

Failure to meet the requirements of this Open Wall Inspection may result in termination of the project.

6.5 Additional Requirements

6.5.1 Modeling Guidelines

All MF NCP projects following the PHI path shall follow the PHI Passive House Standard v9.5 – PH Classic, with the additional requirements:

- Any deviations from program defaults for operating assumptions, such as source-to-site conversion, plug loads and hours of operation, are subject to review and must be specifically noted in the BPP.
- If a project includes an HVAC configuration or system type that cannot be explicitly modeled in the PHPP software, the project team must work directly with PHI staff to ensure that the energy use of that system is accurately captured in the model.
- Any calculations performed outside of the approved version of PHPP, including but not limited to HVAC systems that are not directly supported, capturing power of continuously running fans integral to heating/cooling units, methodology for aggregating heating systems of different type /efficiency for input into PHPP, etc. must be included in the NYSERDA submittal and are subject to NYSERDA approval.

At the Applicants and Partners option, the model used to show compliance with the MF NCP Tier 3 performance thresholds, which are above and beyond PHI minimum certification requirements, may choose to alter their model as follows. Note the project is still required to meet all PHI certification requirements without this allowance.

- When calculating the Primary Energy Demand metric to determine a project's compliance with the performance thresholds specified in its approved performance tier, the project may choose to exclude the energy use associated with optional amenities, including dishwashers, laundry facilities, and exterior lighting. If excluded, however, that component must, at minimum, meet the modified prescriptive path requirement for that component as defined in the Modified Prescriptive Path Requirements (Attachment E) (e.g., dishwashers and clothes washers must be ENERGY STAR® certified). Additional optional amenities, such as vending machines, on-site gym equipment, etc., may be excluded with prior NYSERDA approval.

6.5.2 ENERGY STAR Benchmarking

NYSERDA requires benchmarking for all PHI path projects. Building performance is as much a function of proper building management as the energy conservation measures incorporated into the structure. Therefore, after completing the MF NCP, the developer or building owner must commit to benchmarking their building in Portfolio Manager.

Portfolio Manager is an online, interactive energy management tool that allows Applicants to measure and track their building's energy and water consumption, identify investment priorities, and verify improvements over time. Multifamily housing communities can use Portfolio Manager to track weather-normalized energy use intensity (EUI), energy costs, greenhouse gas emissions, and water consumption. For more information on how to use

Portfolio Manager, see the Portfolio Manager – Multifamily Housing Quick Start Guide document at the following ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_benchmarking

To accomplish this goal, the developer, building owner, or an entity working on their behalf must have the capability to evaluate the utility consumption of the residential-associated spaces independent of any commercial/retail space. These non-residential associated parts of the building shall be separately metered (or sub-metered) for electricity, gas, fuel oil, water, steam, and hot water for domestic and/or space heating purposes. The developer or building owner should also work with tenants to secure consumption information. If the building is direct-metered for utilities to the apartments, the building owner must secure signed releases from individual apartment occupants to allow for benchmarking. In addition, the building owner must provide a signed release for the common area/whole-building utility meters. All data uploaded to Portfolio Manager is strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments.

7 Modified Prescriptive Path (MoPP)

The following section describes the requirements for the MoPP. This compliance path does not result in an ENERGY STAR label for the final project's units, but may result in the New York Energy \$mart designation from NYSERDA. Please reference Appendix A of this document for the Modified Prescriptive Path Process Flow Chart.

Projects following this path must comply with the Modified Prescriptive Path Requirements (Attachment E) and the ENERGY STAR MFHR Testing & Verification Protocols.

New Construction projects following the MoPP will be eligible for Tier 1 only. Gut rehabilitation projects following the MoPP may be eligible for Tier 2.

7.1 Submittal Requirements

For the Applicant to receive the NYSERDA incentives approved for their project, the Partner must submit the required documentation as detailed in the Stages below. These submittals may be reviewed by NYSERDA or its designee. The three submittal Stages are described below. The incentives will only be paid if these submittals are approved by NYSERDA. All documents listed in this section must be submitted to the project's assigned NYSERDA-designated liaison and approved by NYSERDA.

7.1.1 Stage 1: Modified Prescriptive Path Calculator

The submittal must show that the project achieves the performance target and meets the requirements detailed in the Modified Prescriptive Path Requirements (Attachment E) and the ENERGY STAR MFHR Testing & Verification Protocols. Note there are no incentives associated with this submittal.

These submittal documents must be submitted prior to, or with, the Open Wall Submittal.

	Documents Required for Stage 1:	Document Obtained From:
<input type="checkbox"/>	Applicant-Partner Contract (signed by both parties)	Partner created document
<input type="checkbox"/>	LMI Documentation (if not previously submitted)	See Table 2.1
<input type="checkbox"/>	Proposed Modified Prescriptive Path Calculator	NYSERDA's website
<input type="checkbox"/>	Complete Construction Documents (CDs)	Applicant/Developer/Design Team

7.1.2 Stage 2: Open Wall Submittal

For the MoPP, the first NYSERDA incentive is available to the Applicant when the project's Open Wall Site Inspection has been performed and approved by NYSERDA or its designee. The Partner must submit a complete Open Wall Submittal to the NYSERDA-designated liaison at least two weeks before the project achieves the Open Wall Milestone. This gives the NYSERDA-designated MF NCP Site Inspector time to properly schedule the Open Wall inspection. The purpose of the inspection is to verify that typical Open Wall components are installed in accordance with MF NCP requirements. This includes measures from the Modified Prescriptive Path Requirements (Attachment E) and the ENERGY STAR MFHR Testing & Verification Protocols.

	Documents Required for Stage 2:	Document Obtained From:
<input type="checkbox"/>	Site Inspection Request Form (Attachment F)	NYSERDA's website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA

7.1.3 Stage 3: As-Built Submittal

The second incentive is available to the Applicant when the project construction is complete, and NYSERDA has approved the As-Built Submittal and Data Release Authorization Forms (DRAFTs). This submittal must show that the project has complied with all Modified Prescriptive Path Requirements (Attachment E) and the ENERGY STAR MFHR Testing & Verification Protocols. If the project does not comply, the Partner must contact the NYSERDA-designated liaison prior to submittal.

The Partner must work with the Applicant to determine whether to submit Tenant DRAFTs (Attachment H) or to follow the alternative process to allow the NYSERDA-designated liaison to access the utility consumption information directly.

- DRAFTs: All projects are eligible to follow the DRAFT process. The Partner must submit the Owner DRAFT (Attachment G), which must include utility information for all common areas of the building, and Tenant DRAFTs (Attachment H), which must include utility information for a representative sample of apartments. The apartment sample shall consist of at least 10 percent of the apartments with no fewer than five apartments. Of the 10 percent sample, at least one of each apartment type (e.g., studio, 1 bedroom, large 1 bedroom) must be represented. Additionally, a list of all apartment numbers and their corresponding apartment type (e.g. studio, large 1 bedroom) must be provided.
- As an alternative to submitting the Tenant DRAFTs (Attachment H) and associated list of apartments, the Applicant must complete and sign the utility’s Letter of Authorization and send it and a copy of the building’s utility bill to the Partner. The Partner must then complete the application tab of the utility’s Aggregated Consumption Data Request form (if applicable), compile all documents, including the Owner DRAFT (Attachment G), and submit to the NYSERDA-designated liaison. All data is kept strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments. To be eligible to follow this approach, the project’s electric and/or gas utility must provide aggregated data.

Documents Required for Stage 3:		Document Obtained From:
<input type="checkbox"/>	As-Built Modified Prescriptive Path Calculator	NYSERDA’s website
<input type="checkbox"/>	ENERGY STAR MFHR Photo Template	EPA
<input type="checkbox"/>	ENERGY STAR MFHR Testing & Verification Worksheets	EPA

Required DRAFT Documents:

<input type="checkbox"/>	Owner DRAFT (Attachment G) (for all common area utility accounts) (executed)*	NYSERDA’s website
<input type="checkbox"/>	Tenant DRAFTs (Attachment H) (executed)	NYSERDA’s website
<input type="checkbox"/>	List of each apartment number and type (e.g., studio, 1 bedroom)	Partner created document

Alternative utility account document submittal requirements, if Tenant DRAFT Documents and list of sample apartments are not submitted:

<input type="checkbox"/>	Owner DRAFT (Attachment G) (for all common area utility accounts) (executed)	NYSERDA’s website
<input type="checkbox"/>	Utility’s Letter of Authorization*	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp
<input type="checkbox"/>	Utility’s Aggregated Consumption Data Request	Con Edison: http://www.coned.com/energyefficiency/city_benchmarking.asp National Grid: http://www.nyc.gov/html/gbee/downloads/pdf/2017_national_grid_nyc_benchmarking_data_request_form.pdf

<input type="checkbox"/>	Copy of utility bill for project address and account numbers	Applicant/Developer
<input type="checkbox"/>	Partner must provide "lease-up" date (date when the building will be occupied)	Partner/Applicant

* The signatory of this Authorization Form must be the utility account holder

7.2 Associated Documents

7.2.1 Modified Prescriptive Path Calculator

In lieu of submitting the Building Performance Plan, MoPP projects must submit the Modified Prescriptive Path Calculator. This calculator includes a checklist where the Partner and Applicant confirm that all Modified Prescriptive Path Requirements (Attachment E) and ENERGY STAR MFHR Testing & Verification Protocols are met. It also calculates estimated savings based on project-specific data for NYSERDA reporting purposes. It incorporates the ENERGY STAR MFHR Testing & Verification Worksheets, as well as tabs that report information to NYSERDA. There is extensive linking between the tabs in this document to reduce the amount of data entry required of the Partner.

The cells and tabs are color-coded to guide the Partner in properly filling in the calculator. All cells that require the Partner to input information are blue.

- *Modified Prescriptive Path Checklist:* This tab outlines the Modified Prescriptive Path Requirements (Attachment E) in checklist form. In addition to checking each box to indicate that the requirement has been met, certain components require basic information be entered. These cells are colored blue.
- *Savings:* This tab calculates the savings of each measure and the entire project, based on MF NCP-wide assumptions. No information should be changed in this sheet; it is for NYSERDA informational purposes only.
- *Testing & Verification Worksheets (Remainder of the tabs):* After the final plan review confirms all recommendations have been integrated into the construction documents, the ENERGY STAR MFHR T&V Worksheets are intended to be printed and brought to the field. They list the measures and building components to be inspected, mandatory requirements to be confirmed, and any additional relevant information identified during the plan review. Once completed, they are used to document that each Modified Prescriptive Path requirement and each measure included in the As-Built Building meets all requirements and follows ENERGY STAR MFHR T&V Protocols.

7.2.2 Testing and Verification Protocols and Worksheets

Projects following the Modified Prescriptive Path (See Attachment E) are required to comply with the ENERGY STAR MFHR Testing & Verification Protocols. The ENERGY STAR MFHR Testing & Verification Protocols are mandatory requirements for the inspection, testing, and verification of components related to the project's energy performance. All inspections, diagnostic tests, and photo documentation described within the Protocols are required for each of the participating project's components and systems. Results of testing and verification must be documented in the ENERGY STAR MFHR Testing & Verification Worksheets (included in the Modified Prescriptive Path Calculator) and ENERGY STAR MFHR Photo Template. The Testing & Verification Protocols and Photo Template can be obtained from the following ENERGY STAR website:

https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_guidance

7.3 Quality Control Processes

NYSERDA and its designees may perform two different types of quality control on each MF NCP project: technical reviews and site inspections. This section explains how these apply to projects following the Modified Prescriptive Path.

7.3.1 Technical Reviews

The technical review process occurs at the Modified Prescriptive Path Calculator submittal stage and As-Built stages of each Modified Prescriptive Path project. The intent is to provide a thorough technical review of the submittal documents and to verify compliance with the Modified Prescriptive Path Requirements (Attachment E).

The NYSERDA-designated MFNCP Technical Reviewer will focus on identifying errors within the Modified Prescriptive Path Calculator. Failure to meet the Modified Prescriptive Path Requirements may result in termination of the project.

At the Modified Prescriptive Path Calculator submittal stage, the Technical Reviewer may review all inputs made in the Modified Prescriptive Path Calculator to determine that they are complete and reasonable. Additionally, the Technical Reviewer may verify that all requirements listed in the Modified Prescriptive Path Requirements have been met.

At the As-Built stage, the Technical Reviewer may also review the Modified Prescriptive Path Calculator in comparison to the ENERGY STAR MFHR Photo Template to ensure that all inputs and photos reflect the actual and installed conditions.

If the submittal for any stage is not accepted, NYSERDA or the Technical Reviewer may provide comments in a review document identifying the issues of each submittal revision. The Partner should review all comments, and find and correct the errors causing each identified issue or explain why an identified issue is justified. When all issues are resolved, the Partner should respond to the Technical Reviewer's comments in the review document and include it in the next revision of the submittal.

All Partners are expected to QC their work and submit high-quality and fully completed tools and documents. Partner status may be affected if a good-faith effort is not made. If at any time during the technical review process the NYSERDA or its designee deems the submittal as incomplete or missing information, the submittal will be rejected and sent back to the Partner to resubmit.

7.3.2 Site Inspections

Open Wall inspections may be performed by a NYSERDA-designated MF NCP Site Inspector on all Modified Prescriptive Path projects.

Partner and Applicant representatives are required to attend these site inspections. These representatives must have detailed knowledge of the project and must also be prepared to answer any project-related questions that arise.

The Partner must submit the Open Wall Submittal to the NYSERDA-designated liaison at least two weeks prior to the Open Wall Milestone. The Partner must remain in communication with the construction site superintendent or construction manager regarding the construction schedule and any anticipated deviations that may affect the inspection.

The Open Wall Milestones are based on the type of installed above-grade wall insulation:

- Exterior insulation: Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Insulated concrete form (ICF): Inspection should occur when approximately 30% of windows have been installed. This allows the Site Inspector to view cross sections of the above-grade wall assemblies at window rough openings, as well as air-sealing details at installed windows.
- Exterior Insulation and Finishing Systems (EIFS): Inspection should occur when 30% of the EIFS has been installed.
- Interior insulation only: Inspection should occur when 30% of insulation is installed and visible.
- Exterior insulation with interior insulation: Inspection should occur when 30% of interior insulation is installed and visible.
- Pre-fabricated exterior wall assemblies and modular construction: Inspection should occur when 30% of the pre-fabricated assemblies have been installed on-site. The Partner may need to visit the pre-fabrication facility to complete required testing and verification. The Partner must provide photo documentation of components that will not be visible during the Open Wall inspection.

The Partner must contact the NYSERDA-designated liaison early in construction to determine the Open Wall Milestone for projects with above-grade wall insulation types or combinations not listed here.

If the Partner fails to submit the Open Wall Submittal at least two weeks prior to the Open Wall Milestone or the Partner/Applicant is unresponsive to attempts to schedule the Open Wall inspection, the project will be required to expose sections of walls for inspection and all remaining incentive payments will be in jeopardy.

The Site Inspector may ask to see the construction drawings while on site to verify any component listed on the Open Wall Checklist that the Site Inspector cannot inspect because either it has been covered or installation has not commenced.

For any completed component no longer visible during the inspection (below-grade exterior insulation, roof insulation, pre-fabricated assembly items, etc.), the Partner must submit photographs using the ENERGY STAR MFHR Photo Template before the Inspection Report can be approved.

The Site Inspector may inspect all installed measures from the Modified Prescriptive Path Calculator, as well as all installed Modified Prescriptive Path Requirements (Attachment E). The Site Inspector may develop a report detailing the Open Wall Inspection findings, which the NYSERDA-designated liaison will return to the Partner. The report may contain Additional Requirements or Action Items for measures and prerequisites or requirements. Additional Requirements can be resolved at the As-Built submittal. Action Items must be resolved before the Open Wall Incentive can be paid. The report will provide an explanation of what is required to resolve Additional Requirements and Action Items.

If severe violations of the Modified Prescriptive Path Requirements are discovered during this inspection, NYSERDA and the Site Inspector reserve the right to request that the Partner instruct the construction team to remove sections of sealed walls to fully inspect insulation and air sealing components. Additionally, NYSERDA and its representatives reserve the right to require a second Open Wall inspection to take place once all the required corrections are complete.

Failure to meet the requirements of this Open Wall Inspection will result in termination of the project.

7.4 Additional Requirement

7.4.1 Energy Star Benchmarking

NYSERDA requires benchmarking for all MoPP projects. Building performance is as much a function of proper building management as the energy conservation measures incorporated into the structure. Therefore, after completing the MF NCP, the developer or building owner must commit to benchmarking their building in Portfolio Manager.

Portfolio Manager is an online, interactive energy management tool that allows Applicants to measure and track their building's energy and water consumption, identify investment priorities, and verify improvements over time. Multifamily housing communities can use Portfolio Manager to track weather-normalized energy use intensity (EUI), energy costs, greenhouse gas emissions, and water consumption. For more information on how to use Portfolio Manager, see the Portfolio Manager – Multifamily Housing Quick Start Guide document at the following ENERGY STAR website: https://www.energystar.gov/index.cfm?c=bldrs_lenders_raters.nh_mfhr_benchmarking

To accomplish this goal, the developer, building owner, or an entity working on their behalf must have the capability to evaluate the utility consumption of the residential-associated spaces independent of any commercial/retail space. These non-residential associated parts of the building shall be separately metered (or sub-metered) for electricity, gas, fuel oil, water, steam, and hot water for domestic and/or space heating purposes. The developer or building owner should also work with tenants to secure consumption information. If the building is direct-metered for utilities to the apartments, the building owner must secure signed releases from individual apartment occupants to allow for benchmarking. In addition, the building owner must provide a signed release for the common area/whole-building utility meters. All data uploaded to Portfolio Manager is strictly confidential and only used to estimate the energy performance of the whole building, not of individual apartments.

8 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 <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 project. 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 (Attachment B) 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 the applicant in approximately four weeks from the receipt of a complete application whether the 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 (Attachment B). 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.

9 Attachments

- Attachment A – Multifamily New Construction Program (MF NCP) Guidelines
- Attachment B – Terms and Conditions
- Attachment C – Project Application Form
- Attachment D – Application Submittal Checklist
- Attachment E – Modified Prescriptive Path Requirements
- Attachment F – Site Inspection Request Form
- Attachment G – Owner Data Release Authorization Form
- Attachment H – Tenant Data Release Authorization Form



Applications accepted continuously through December 29, 2017 by 5:00 PM Eastern Time*

New Construction and Codes Partners

NYSERDA seeks firms interested in assisting NYSERDA with delivering design and technical assistance, high quality energy modeling and analysis, and quality assurance services to significantly increase the performance of buildings and their energy systems to reduce overall greenhouse gas emissions. Partners will deliver these services to building owners, developers and leaseholders. Partners will receive agreements with NYSERDA with initial expiration dates of June 30, 2018 that will allow them to perform technical services for customers. Agreements will contain two two-year options to renew at NYSERDA’s discretion.

Summary of Programs Served by Partners

Partners approved via this solicitation will be eligible to provide services under several NYSERDA programs including the Commercial, Multifamily and Low-rise Residential New Construction Programs. In addition, approved Partners will be considered eligible modeling entities under PON3308: Commercial Tenant Program. Partners will be expected to assist customers wishing to participate in these programs by providing design and technical assistance, high quality energy modeling and analysis, and quality assurance services for energy efficiency improvements in building designs and substantial renovations to tenant spaces. Firms will be required to demonstrate their modeling expertise as well as their ability to influence building owners, developers and leaseholders to achieve significant energy savings.

In alignment with NYSERDA’s Clean Energy Fund proposal, future program initiatives that require similar technical support services for deep-energy-savings and zero-net-energy projects and code development may be added to the programs for which Partners will be eligible to participate.

Application Submission

Applications will be accepted continuously through December 29, 2017 or until funds are fully committed, whichever happens first. Applicants may apply by mail, electronically, or online when available.

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

**Jillina Baxter, RFP3036
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

Submittal Electronically (preferred): When submitting electronically, proposers may submit Word, Excel, or PDF files (file formats can include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP’s webpage, which is located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). For detailed instructions on how to submit electronically, click the link “**NYSERDA Solicitation – User Guide**” which is also located on this RFP’s webpage.

No communication intended to influence this procurement is permitted except by contacting Designated Contacts as follows:

- Commercial New Construction Program Partners: Marilyn Dare, (518) 862-1090, ext. 3348, marilyn.dare@nyserda.ny.gov and Kristin Maki, ext. 3069, kristin.maki@nyserda.ny.gov
- Low-rise Residential and Multifamily New Construction Program Partners: Lori Borowiak, ext.3004, lori.borowiak@nyserda.ny.gov and Patrick Fitzgerald, ext. 3385, patrick.fitzgerald@nyserda.ny.gov
- Commercial Tenant Program Partners: Sophie Cardona, ext. 3590, Sophie.cardona@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.

* Late, incomplete, or unsigned applications will be returned to sender. 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 web site at <https://www.nyserda.ny.gov> and [Contract Reporter](#). Please note that there are required questions that you will have to answer electronically in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 5pm Eastern Time on the due date noted above. Files in process or attempt for submission after 5pm will be locked out of the system and not accepted.

Technical questions should be directed the Designated Contacts listed above. All Contractual questions should be directed to: Venice Forbes, ext. 3507 or venice.forbes@nyserda.ny.gov.

Application Review

Applications will be reviewed at least bi-weekly (i.e., every two weeks), and applicants will be notified of acceptance or rejection within 4 weeks after a complete application is received (see Section III - Application requirements for details).

I. Introduction

A. Goals

The goal of this offering is to expand the market of firms that provide design and technical assistance, high quality energy modeling and analysis services, and quality assurance. An emphasis is being placed on expanding standard design and modeling practices to achieve Deep Energy Savings and Zero-Net-Energy or Zero-Net-Capable projects that are replicable and will lead to a transformation in the design and delivery of new construction projects in New York State.

B. Objectives

NYSERDA's objectives in offering this opportunity are:

- 1) to provide a single point-of-entry for firms interested in working with NYSERDA on multiple sector new construction and tenant retrofit programs;
- 2) to help the market identify qualified energy modeling firms capable of providing technical and design assistance and reliable and credible energy models to influence design decisions and maximize energy savings; and
- 3) expand the capacity of these firms to engage building owners and developers to achieve deep energy savings and zero-net-energy or zero-net-capable new construction projects.

C. Technical Support Services:

Firms accepted as Partners will engage building owners and design teams to achieve energy-efficient tenant retrofits, and support beyond Code and Deep Energy Savings, Zero-Net-Energy or Zero-Net-Capable new construction projects. These activities may vary depending on the sector and program, but may include:

- Scoping meetings, integrated design services, and charettes;
- Scope development and budgetary estimates for technical support services;
- Evaluation of building systems;
- Modeling services;
- Coordination with design teams, NYSERDA, and firms as designated by NYSERDA;
- Consideration of green building services and environmental impacts to reduce energy and greenhouse gas emissions;
- Performance validations;
- Quality assurance;
- Other related areas or services as directed by NYSERDA.

II. Program Requirements - Applicable NYSERDA Programs

Firms are invited to apply to provide technical support services to any or all of the following NYSERDA programs, however the potential for the Applicant to serve any program will be evaluated individually:

- A. **Commercial New Construction:** The services and the associated cost-share structures under which NYSERDA reimburses the Partners (also known as "Energy Modeling Partners") for design and technical assistance to customers in the Commercial New Construction Program are described in Exhibit F to the Standard Agreement and Sample Statement of Work (Attachment E) and [PON 1601 Rev1 - New Construction Program Technical and Financial Support](#) [PDF].

NOTE: Firms approved as Partners to the Commercial New Construction Program will be **immediately eligible** to apply and provide modeling services for the Commercial Tenant Program. Program and application details are described in [PON3308 – Commercial Tenant Program](#).

- B. **Multifamily New Construction:** The services and activities provided by Partners for mid- and high-rise Multifamily New Construction projects are described in Exhibit G to the Standard Agreement and Sample Statement of Work (Attachment E) and [PON 3319 – Multifamily New Construction Program \(MF NCP\)](#).
- C. **Low-rise Residential and Multifamily New Construction:** Partners who are RESNET-accredited Providers will be eligible to deliver required technical support and quality assurance services associated with the Low-rise Residential and Multifamily New Construction Programs as described in Exhibit G to the Standard Agreement and Sample Statement of Work (Attachment E), [PON 2309 – Low-rise Residential New Construction Program \(LR NCP\)](#), and [PON 3319 – Multifamily New Construction Program \(MF NCP\)](#).

III. **Application Requirements**

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

The Application package for each program consists of the following documents:

1. Application Checklist,
2. Partner Application with all required documentation (described in the tables on Pages 5, 6 and 7),
3. the Disclosure of Prior Findings of Non-Responsibility form, and
4. the Project Personnel and Billing Rates Form.

IV. **Application process**

Applications may be submitted at any time until December 29, 2017 by mail, electronically, or online, when available. Applications will be reviewed at least bi-weekly (i.e., every two weeks) by NYSERDA to determine if the items provided satisfactorily meet the qualifications and documentation requirements. NYSERDA reserves the right to accept or deny any application.

Current Energy Modeling Partners

Firms already approved as “Energy Modeling Partners” under the Commercial New Construction Program may apply to provide services under the other Programs identified herein. Successful firms will have their contracts modified accordingly. The Application describes the necessary steps to be taken.

Current Low-rise Residential New Construction RESNET-accredited Providers (“Provider”)

Providers previously approved under PON2309 must submit the Application package described in Section III above with the exception of the RESNET-accredited Provider Signature Form and associated documents previously submitted under PON2309. Upon receipt by NYSERDA of the Application package, the Provider will receive a Contract Agreement with Exhibit G (see Attachment E for a sample) which will replace the previously executed Partnership Agreement. The Application

describes the necessary steps to be taken. The Provider may also indicate if they are seeking to provide services under the other Programs identified herein.

V. Accepted Applications and Partner Designations

All firms must submit applications and receive explicit approval by NYSERDA to participate in the applicable program(s). Selection to serve one program does not imply an equal opportunity to serve other programs.

1. Commercial New Construction Partner Designations

Partner status designations for Commercial New Construction are described in Exhibit F to the Standard Agreement and Sample Statement of Work (Attachment E).

2. Multifamily New Construction Partner Status Designations

Partner status designations for Multifamily New Construction are described in Exhibit G to the Standard Agreement and Sample Statement of Work (Attachment E),

3. Low-rise Residential New Construction Partner Status Designations

Partner status designations for Low-rise Residential New Construction are described in Exhibit G to the Standard Agreement and Sample Statement of Work (Attachment E).

VI. Rejected Applications

Firms whose applications to a program are rejected may request a de-briefing and may reapply. Firms whose applications are rejected twice may not reapply until 12 months after the initial application date.

VII. Contracting Process for Accepted Applications

Approved Partners will enter into a standard contract agreement with a Statement of Work (Attachment E) and the Exhibits pertaining to the Program to which the Partner was approved to serve (Attachment E, Exhibits F and G). Work conducted under the Agreement will be defined by either a project specific Task Work Order (TWO) or a separate vehicle, depending on the Program to which the Partner is providing services.

Approved Applicants with models demonstrating energy cost savings that exceed ASHRAE 90.1-2007 Appendix G by 40% or more prior to renewables or Tier 3 of the Multifamily New Construction Program will be listed on NYSERDA's website as capable of providing Deep Energy Savings and Zero-Net-Capable technical services.

VIII. Description of Project Processes

A) Commercial New Construction Project Processes

The Commercial New Construction Project process is described in Exhibit F of Attachment E, Standard Agreement and Sample Statement of Work.

B) Multifamily New Construction Project Processes

The Multifamily New Construction Project process is described in Exhibit G of Attachment E, Standard Agreement and Sample Statement of Work.

C) Low-rise Residential New Construction Project Processes

The Low-rise Residential New Construction Project process is described in Exhibit G of Attachment E, Standard Agreement and Sample Statement of Work.

New Construction and Codes Partner Application: Required Documentation

Required Documentation From All Applicants

- REFERENCES:** Two letters of reference with contact information;
- ORGANIZATIONAL CHART:** Organization chart or matrix depicting the personnel and/or the staff position that will provide services to NYSERDA;
- PERSONNEL RESUMES:** One-page resumes for the P.E. or R.A., where applicable, modeler, and key personnel who will be directly involved in providing Technical Services;
- RATE SCHEDULE:** A completed Project Personnel and Billing Rates Form (Attachment D)¹ and Supporting Documentation for Indirect/Direct Rates.²

Commercial New Construction Program

- Submit evidence that a current staff member is a New York State Licensed Professional Engineer (P.E.) **OR** a Registered Architect (R.A.) with at least 3 years of commercial/multifamily energy efficiency experience (i.e., new construction projects, delivered performance contracts, executed energy audits, Combined Heat and Power (CHP) projects, demand response, etc.);
- Submit evidence that a current staff member or named sub-contractor has:
 - at least 3 years of energy modeling experience, **AND**
 - has either an energy modeler certification (e.g., ASHRAE BEMP, AEE BESA) **OR** evidence of at least two commercial or multifamily energy models since 2009 validated by an independent third party (e.g., LEED, NYSERDA, utility program, etc.)
- Submit **Two** commercial or multifamily projects **managed by the applicant** with narratives, technical details and backup documentation (i.e., input and output modeling files, third party verification, etc.) demonstrating the ability to influence the design of buildings. Each project's proposed building performance rating must exceed the baseline building performance rating **by at least 25%**³ prior to renewables, calculated according to **ASHRAE 90.1-2007 Appendix G**, using a computer simulation model, and validated by an independent third party. Applicants may elect to submit projects based on another version of the ASHRAE 90.1 Appendix G performance rating method, however additional validated and independent documentation must be provided demonstrating performance rating equivalency with ASHRAE 90.1-2007 Appendix G. For projects that otherwise meet these criteria but have not been third party validated, input and output modeling files must be submitted to allow comprehensive validation by NYSERDA.

¹ Clearly indicate hourly salary rate ranges for each title classification proposed under the agreement with NYSERDA and other overhead multipliers you propose to use for the duration of the agreement with NYSERDA (initial expiration date of June 30, 2018). Provide rates and multiplier for services to be provided from date of application. These shall be independent annual rates. The multiplier stated shall include all overhead, profit and other costs. **Do not provide fully burdened rates in the chart.**

² Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projects; based on federal government or other independently-approved rates). If rate(s) is/are approved by an independent organization, such as the federal government, provide a copy of such approval. If rate(s) is/are based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs. NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustments for such differences. Requests for financial statements or other needed financial information may be made if deemed necessary.

³ Approved Applicants with models demonstrating energy cost savings that exceed ASHRAE 90.1-2007 Appendix G by 40% or more (prior to renewables) or Tier 3 of the Multifamily New Construction Program will be listed on NYSERDA's website as capable of providing Deep Energy Savings and Zero-Net-Capable technical services.

New Construction and Codes Partner Application: Required Documentation

Multifamily New Construction Program

- Submit evidence that a current staff member is:
 - a New York State Licensed Professional Engineer (P.E.) or a Registered Architect (R.A.) with at least 3 years of commercial/multifamily energy efficiency experience (i.e., new construction projects, delivered performance contracts, executed energy audits, Combined Heat and Power (CHP) projects, demand response, etc.); **OR**
 - a Certified Passive House Consultant **OR** Certified Passive House Designer with at least 3 years of commercial or multifamily energy efficiency experience as described above; **OR**
 - a Certified Energy Manager (CEM) with at least 5 years of commercial/multifamily energy efficiency experience as described above.
- Submit evidence that a current staff member or named sub-contractor has:
 - at least 3 years of energy modeling experience, **AND**
 - has either an energy modeler certification (e.g., ASHRAE BEMP, AEE BESA), **OR** evidence of at least two commercial or multifamily energy models since 2009 validated by an independent third party (e.g., LEED, NYSERDA, PHIUS⁴, PHI⁵, utility program, etc.).
- Submit **Two** multifamily projects **managed by the applicant** with narratives, technical details and backup documentation (i.e., input and output modeling files, etc.) demonstrating the ability to influence the design of buildings where:
 - the project's proposed building performance rating exceeds the baseline building performance rating by **at least 25%**⁶ prior to renewables, calculated according to **ASHRAE 90.1-2007 Appendix G**, using a computer simulation model, and validated by an independent third party; **OR**
 - if the project's proposed building performance rating was based on another version of the ASHRAE 90.1 Appendix G performance rating method, additional validated and independent documentation demonstrates performance rating equivalency with ASHRAE 90.1-2007 Appendix G; **OR**
 - the maximum primary energy demand meets or exceeds 6200 kWh/person/yr prior to renewables, when calculated following PHIUS+ standards⁶; **OR**
 - the maximum primary energy demand meets or exceeds 38 kBtu/SF/yr prior to renewables, when calculated following PHI standards⁶; **OR**
 - the requirements of ENERGY STAR Certified Homes Version 3.1⁷ are met or exceeded.
 - For models that otherwise meet the above-stated criteria but have not been third party validated to any of the above standards, backup documentation must be submitted to allow comprehensive validation by NYSERDA.

⁴ PHIUS = Passive House Institute US, <http://www.phius.org>

⁵ PHI = Passive House Institute, <http://www.passivehouse.com>

⁶ Approved Applicants with models demonstrating energy cost savings that exceed ASHRAE 90.1-2007 Appendix G by 40% or more (prior to renewables) or Tier 3 of the Multifamily New Construction Program will be listed on NYSERDA's website as capable of providing Deep Energy Savings and Zero-Net-Capable technical services.

⁷ [Version 3.1, ENERGY STAR National Program Requirements](#) 

New Construction and Codes Partner Application: Required Documentation

RESNET-accredited Providers to serve the Low-rise Residential & Multifamily New Construction Programs

- Submit:
 - A detailed outline of the Provider's organizational structure which identifies those individuals who will provide the necessary technical support and oversight of affiliate Raters, including the Quality Assurance Designee(s), Quality Assurance Delegate(s), RESNET certified trainer(s), and management; including resumes for each individual;
 - The Provider's Communications Plan for ensuring affiliate Raters maintain knowledge of, and any changes made to, the EPA's ENERGY STAR Certified Homes program, RESNET, or NYSERDA's Low-rise Residential or Multifamily New Construction Programs;
 - The Provider's Quality Assurance (QA) Plan, which complies with RESNET's QA requirements as well as all Program requirements, including the requirements listed in Article 4 of Exhibit G to the Standard Agreement and Sample Statement of Work (Attachment E);
 - A copy of the Provider's template contractual agreement with affiliate Rater(s) which references the minimum required qualifications for serving as an affiliate Rater and delineate the rights and responsibilities of both the affiliate Rater and the Provider serving either NYSERDA Program.
- Submit **Two (2)** projects, **either performed by the Applicant or produced by a Rater under the Applicant's Providership**, with narratives, technical details and backup documentation (i.e., energy modeling files from modeling software meeting US EPA and RESNET standards, e.g. REMRATE) that meet or exceed the requirements of ENERGY STAR Version 3.1⁸.

⁸ [Version 3.1, ENERGY STAR National Program Requirements](#) 

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

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

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

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

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

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

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>. The attached Application 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. The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

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

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

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

X. Attachments:

Attachment A: New Construction and Codes Partner Services Application Check List -
(Mandatory for mailed or hand-delivered only)

Attachment B: RFP3036 New Construction and Codes Partner Services Application (Mandatory)

Attachment C: Disclosure of Prior Findings of Non-Responsibility Form -
(Mandatory for mailed or hand-delivered only)

Attachment D: Project Personnel and Billing Rates Form (Mandatory)

Attachment E: Standard Agreement, Sample Statement of Work, and Exhibits F and G: Terms and Conditions for
Commercial, Residential and Multifamily New Construction Technical Services



Customer Targeting Resources for Installers of Energy Efficient HVAC Systems, including Heat Pumps, and other Energy Efficiency and Renewable Energy Products

Request for Proposal (RFP) 3761

Up to \$300,000 Available

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

Proposals Due: February 1, 2018 by 5:00 PM EST*

Program Summary:

The New York State Energy Research and Development Authority (NYSERDA) is soliciting proposals from experienced contractors, or teams of companies, (hereinafter, "Contractor") to provide an internet-based customer targeting resource and complementary consulting services to installers participating in NYSEDA programs (hereinafter, "Installers") that will accelerate market adoption of energy efficient HVAC systems, especially heat pumps, as well as related energy efficiency and renewable energy (hereinafter, "EE/RE") products. The goal of the RFP is to increase the sales closure rate, reduce soft costs and strengthen the overall market for energy efficiency and renewable energy products by providing a clearer path for Installers to target and recruit high probability customers in New York State.

NYSEDA anticipates awarding one Contract for up to \$300,000 for up to a three-year term. NYSEDA reserves the right to add or reduce time and/or funding to awarded 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. NYSEDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSEDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Matt Miller (Designated Contact) at (518) 862-1090, ext. 3442 or by e-mail matthew.miller@nyserda.ny.gov, or Kerry Hogan (Designated Contact) at (518) 862-1090, ext. 3509 or by e-mail kerry.hogan@nyserda.ny.gov. 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 offeror, and (2) may result in the proposer not being awarded a contract.

Informational Webinar: NYSEDA will conduct an informational webinar on Thursday, January 4, 2018 from 3:00pm - 4:00pm Eastern Time where NYSEDA will review this RFP, the application requirements, and answer questions. All applicants are encouraged to participate in this webinar.

- Registration: Interested applicants must register on [NYSEDA's website](#).
- Submitting Questions: Attendees will be able to type in questions during the webinar through the webinar portal. Following the webinar, NYSEDA will post questions and responses on

this webpage. NYSERDA will post all questions anonymously, and NYSERDA's written responses will supersede any responses given during the webinar.

*** 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 Contractor'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.nyserderda.ny.gov/>.

I. Introduction

NYSERDA is a public benefit organization committed to identifying opportunities for the reduction of commercial and residential energy consumption, promoting the use of renewable energy sources, and protecting the environment. NYSERDA provides financial and technical assistance to help consumers, businesses and institutions assess and implement cost-saving energy efficiency measures.

The heating and cooling of buildings is responsible for approximately 32% of all greenhouse gas (GHG) emissions in New York State. In support of New York State's [Reforming the Energy Vision](#), a nation-leading effort to reduce GHG emissions 40% by 2030 and 80% by 2050, NYSERDA has developed an integrated, long-term policy approach to address emissions from the heating and cooling sector. Please refer to the [Renewable Heating and Cooling Policy Framework](#) for more information.

The goal of this RFP is to reduce customer recruitment acquisition costs and other soft costs for Installers of energy efficient HVAC systems, including heat pumps, and related energy efficiency and renewable energy products in New York. NYSERDA intends to partner with one Contractor to deploy resources in New York to identify and cultivate key opportunities for participating Installers, thus enhancing their success and strengthening the overall market growth of EE/RE products.

Contractors are invited to submit a proposal describing their qualifications, skills, and expertise with documented references in the following areas:

- 1.) **Internet-based customer targeting resource:** Deployment of internet-based resources that incorporate information on individual real estate parcels for all of New York as well as building information (e.g., HVAC system, utilities, age, size, fuel type and more) that can be used to target, at a minimum, heat pump opportunities. Tools that can support a wider set of EE/RE opportunities will receive additional points during the award review.
- 2.) **Consultative and general business services:** Support a minimum of 200 Installers participating in NYSERDA programs in the use of the tool to develop business opportunities. These installers are focused on, at a minimum, energy efficient HVAC, especially heat pump, opportunities in the residential and commercial sectors. Proposals that address additional EE/RE products and/or wider commercial market sector opportunities will receive additional points during the award review.

II. Program Requirements

Services Requested

A Contractor to offer Installers free, limited-time use of a customer targeting tool and complementary consulting services, as follows:

- **Targeting:** Summarize high-value buildings or parcels based on market insights, such as residences or businesses that use No. 4 and No. 6 oil for heating, have HVAC systems at the end of their useful life, or do not have access to natural gas, for example.
- **Tool development or repurposing:** Provide a user-friendly, internet-based tool to identify high potential customers that meet the target criteria by building, property, neighborhood, or community.
 - Preference will be given to proposals offering existing tools and resources with proven performance that can be readily introduced in New York State.
 - Preference will be given to proposals offering tools and resources that include other EE/RE technologies in addition to HVAC systems, including heat pumps
 - Preference will also be given to teams that present a viable, market-based solution that will continue beyond the initial NYSERDA offering due to private sector demand and new business development.
- **Tool deployment:** The tool and support services should be available to 200 Installers at no cost during the program period. The Contractor must provide pricing for additional Installers during the program period and for all Installers after the program has ended. The Contractor must choose an approach that meets Installer needs on a timely basis. Contractors may recommend rolling out the deployment on a regional basis (e.g., utility jurisdiction, economic development region, county, etc.) or in phases, as appropriate.
 - Preference will be given to proposals that service the largest number of Installers and/or widest geographic coverage in the timeliest manner.
- **Assistance.** Provide consulting and support services to Installers in using the tool and integrating results into their marketing campaigns and sales activities to increase the recruitment of new high-quality customers.
 - Preference will be given to offerings that can provide Installers with additional tools and resources to help promote heat pump and EE/RE products to their customer base and service area.

Proposer Qualifications

- The proposer must demonstrate experience developing internet-based and other content for technical resources aimed at Installers
- The proposer must demonstrate an ability to collaborate with Installers in their market outreach efforts and engagement with prospective customers.

Contractor's Responsibility

- The Contractor must deliver prompt and exceptional services to NYSERDA, Installers, prospective customers and audiences who express an interest in this effort.

Available Funds

NYSERDA anticipates a total award up to \$300,000 for the Customer Targeting Tool that will run for up to three years. NYSERDA reserves the right to add or reduce time and/or funding to awarded contracts.

III. Proposal Content and Format

All proposals should be prepared in the following format and address all topics requested, as follows:

Section 1: Introduction and Approach (up to 2 pages)

- Provide a brief description of your market-based approach to meet NYSERDA's goals for this RFP, including:
 - The targeting tool and support you will provide installers during the program.

- How the effort will yield ongoing results past the initial program period.
- Summarize your business qualifications and expertise.

Section 2: Qualifications (2-3 pages)

- Describe previous experience developing tools for customer targeting.
- Explain how and to what degree the tool and support activities provided to Installers succeeded in increasing customer interest, sales and market adoption.
- Identify if and how existing tools and resources will be leveraged for this RFP.

Section 3: Identification of Project Team (up to 2 pages)

- Provide summary information on all team members including relevant experience, expected role and contribution to this program.

Section 4: Statement of Work (2-6 pages)

- Present a fully-developed plan for developing targeting parameters, developing or repurposing a targeting tool and associated resources, and deploying the proposed tool to Installers throughout New York.
- Describe how Installers will be effectively supported in a timely manner throughout the program period including training, identification of prospective customers, customer engagement and follow up.
- Describe your intentions for a sustained business presence in New York once this program has ended.
- The Statement of Work (SOW) is the primary contractual document that outlines work activities and specifies deliverables. It delineates each step required to accomplish the project objectives. Therefore, each action needs to be identified, indicating who will perform it, how it will be performed and its intended result. At the end of each task description, specific task deliverable(s) must be listed. Be sure to identify the task deliverable, as this will be a measure of your performance.
- Be clear and specific: concentrate on “how” and not “why.” Use “active voice” sentence structure to make clear who is responsible for specific actions. Use the following phrase to start the description of every task and subtask (“The Contractor shall....”). Each task should include a concise narrative description of the work that will be performed and how the work will be performed and specific deliverables to be provided.

Section 5: Schedule (1-2 pages)

- Present a detailed timeline to include:
 1. Database, website and other resource preparation
 2. Tool availability, Installer access and training
 3. Consulting services and support to individual Installers.

Section 6: Pricing Template (must use the pricing table in Attachment A)

- Provide detailed pricing for deployment of the targeting tool in New York State, use of the tool by 200 Installers including initial training, ongoing support and business consultation services for three years. Also, provide pricing for additional Installer access and services during the program period and continuity once the program has ended.
- NYSERDA anticipates payment for this service, following negotiation of proposed amounts, as follows:
 1. One early payment based on acceptance by NYSERDA of the targeting tool.
 2. Second up-front payment based on an anticipated number of first quarter Installers
 3. Quarterly payments based on the number of installers served for the previous quarter (using the per-installer amounts in Attachment A)
 4. NYSERDA will reserve the right to terminate the agreement should the number of installers served fall below a pre-negotiated amount.

Appendices:

- Resumes of Key Personnel (1 page each)
- Description of past relevant work (1-2 pages each)

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

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**.

Evaluation Criteria:

1. Soundness of the presented plan and demonstrated ability to achieve the objectives of the product and services requested in Section II.
 - Is the targeting approach consistent with market needs and NYSERDA's goals?
2. Demonstrated competency, experience and success to meet Services Requested in Section II, and in particular, the Proposer Qualifications.
 - Has the Contractor presented a sound plan for providing Installers and others with assistance using the tool and achieving positive results with prospective customers?
 - Does the Contractor address additional EE/RE opportunities beyond energy efficient HVAC systems, including heat pumps?
3. Performance of similar tools developed by the Contractor in other markets and applications.
 - Does the Contractor have experience developing a similar tool in another market?
4. Pricing, schedule and potential long-term value of the proposal.
 - Is the initial program pricing reasonable for 200 Installers to be served?
 - Is pricing for additional Installers during the program period reasonable?
 - Does the proposed schedule meet the needs of the program?
 - Does the Contractor demonstrate a market-based approach to ensure Installer engagement and tool longevity beyond the initial program period?
5. Proposal substance, quality, organization and completeness
 - Is the proposal well-written, organized and complete?
 - Does the proposal meet NYSERDA's stated preferences?
 - Does the proposal service the largest number of Installers and/or widest geographic coverage in the timeliest manner?
 - Does the proposal provide Installers with additional tools and resources to help promote heat pump and EE/RE products to their customer base and service area?

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. Contractors will be notified if they are requested to attend an interview.

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

- The degree to which the proposed project optimizes the use of available funding
- The degree to which there are technical, market or organizational risks associated with the project

- The degree to which the proposed project duplicates, complements, or avoids duplication of projects in terms of geographic location, market barrier or market approach addressed
- The degree to which pricing, budgeting and resources align with the rest of the market.
- Information provided by references from previous work efforts.

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 Contractor 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>. Contractors 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 Contractor 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. 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. Contractors 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 Contractors in approximately 6 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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 Contractors 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 Contractor 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 Contractor 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. Contractors 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 – Pricing Template
- Attachment B – Sample Agreement

NY Green Bank

Request for Information

Financing Interconnection Payments for Clean Energy Projects in New York State

RFI No. 3

Responses Due: March 30, 2018, by 5:00 p.m. EST

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1 Introduction

1.1 Opportunity & Overview

The purpose of this Request for Information (“**RFI**”) is to acquire information that will assist NY Green Bank (“**NYGB**”) in assessing the market for interconnection financing for clean energy from capital providers interested in financing the requisite interconnection payments required by the utilities to cover the necessary upgrades to the grid for connecting clean energy generation to the grid in New York State alongside NYGB.

In August 2017, the New York State Public Service Commission (“**PSC**”) updated the Standardized Interconnection Requirements and Application Process for New Distributed Generators 5 MW or Less Connected in Parallel with Utility Distribution Systems (“**SIR**”).¹ The SIR has separate application processes for systems 50 kW or less and systems above 50 kW up to 5 MW. The focus of this RFI is systems above 50 kW up to 5 MW that have completed the Coordinated Electric System Interconnection Review (“**CESIR**”). The CESIR evaluates a proposed clean energy generation system and its impact on the grid.

Section 1(C) of the SIR — “Application Process Steps for Systems above 50 kW up to 5 MW” - requires the following:

- (a) Within 60 business days of completing the CESIR, the applicant will:
 - i. Provide the utility with a deposit of 25% of the utility’s estimated costs identified in the CESIR; and
 - ii. Execute the New York Standardized Interconnection Contract (the “**Interconnection Contract**”); and
- (b) Within 120 business days of execution of the Interconnection Contract, the applicant must provide the remaining balance of 75% of the utility’s estimated costs.

The requirement to pay for interconnection based on the date of completion of the CESIR, rather than concurrently with Notice-to-Proceed (“**NTP**”) when a project has all required approvals and construction can commence, has created a liquidity gap for project sponsors. As a requirement of project finance lenders, traditional project finance capital usually cannot be accessed until a project reaches NTP, and if development capital is available prior to NTP, it is often scarce and expensive. Due to this regulatory dynamic as well as other liquidity driven issues, multiple project sponsors have proposed that a material financing gap currently exists. Together with other capital providers, NYGB is able to address this gap by providing short-term financing for interconnection payments for portfolios of projects to encourage greater liquidity for project developers as they satisfy NTP conditions (and with them, likely achieve a broader financial close). Such greater liquidity for developers can be expected to contribute to more clean energy development in the State.

To date, NYGB has financed interconnection payments for two separate sponsors with a total commitment of \$28 million. The amount of interconnection payments financed by NYGB has ranged from 25% (the initial deposit amount) to 90% of total interconnection financing, based on agreed underwriting requirements reflecting ongoing development and execution risk inherent to specific projects in each transaction. The amount financed for each individual transaction is based on a number of factors including the certainty of reaching NTP, achieving interconnection loan repayment with a project debt and equity capital, a creditworthy sponsor providing a payment guaranty, and the value of the collateral, pledged to the lender.

Interconnection cost estimates for a project subject to the SIR can range from a few thousand dollars to over one million dollars and vary greatly depending on project location within the utility’s system. Using an assumption of \$250,000 per MWac and 100 MW to 500 MW of installation per year, the market for interconnection financing in the State can be sized at approximately \$25 – \$125 million per year. With the NYS

¹ See [www3.dps.ny.gov/W/PSCWeb.nsf/96f0fec0b45a3c6485257688006a701a/dcf68efca391ad6085257687006f396b/\\$FILE/August%202017%20SIR%20-Final.pdf](http://www3.dps.ny.gov/W/PSCWeb.nsf/96f0fec0b45a3c6485257688006a701a/dcf68efca391ad6085257687006f396b/$FILE/August%202017%20SIR%20-Final.pdf).

goal of 50% renewable generation by 2030, the need for this type of financing is likely to persist for an extended period of time.

1.2 RFI Objectives

The objective of this RFI is to commence an active dialogue with capital providers to understand their interest in engaging in interconnection financing and their perception of any barriers to such financing. Specifically, NYGB requests the following information from respondents to this RFI:

- Identify specific capital providers and their appetite to provide interconnection financing;
- Determine the scope and scale of potential financing available for interconnection payments; and
- Understand the barriers faced by capital providers to provide interconnection financing opportunities.

The desired outcome of this RFI is to identify one or more capital providers that are interested in teaming with NYGB in the immediate term to offer an interconnection financing product for clean energy projects throughout the State, with a goal to materially expand the availability of that product in the market, and therefore the pace and volume of clean energy development in the State.

1.3 Background

NYGB is a division of the New York State Energy Research and Development Authority (“**NYSERDA**”), acting as a \$1.0 billion State-sponsored specialized financial entity focused on mobilizing greater clean energy investment and projects within NYS. NYGB is structured and operated in a manner comparable to private investment funds and financing entities, including with respect to 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 Andrew M. Cuomo’s Reforming the Energy Vision (“**REV**”) strategy to advance clean energy growth and innovation, and drive economic development across the State, while reducing ratepayer collections. For more information on the CEF and REV strategy, see www.nyserdera.ny.gov/About/Clean-Energy-Fund and <https://rev.ny.gov/>.

The key elements of NYGB’s mission are collaborating with private sector participants, implementing structures that overcome market barriers and address financing gaps in current clean energy financing markets, and transforming those markets by enabling greater scale, new and expanded asset classes, and increased liquidity. Consistent with this mission and its investment criteria, NYGB’s key goals are to:

- (a) Attract private sector capital into clean energy markets in NYS;
- (b) Be self-sustaining; and
- (c) Reduce greenhouse gas (“**GHG**”) emissions.

NYGB’s activities in pursuit of its goals are specifically aimed at motivating faster and more extensive implementation of clean energy investments within NYS, fostering greater energy choices, reducing environmental impacts, and delivering more clean energy benefits per public dollar spent for all New Yorkers.

Market barriers vary across different technologies and market participants, although a number of particular financing issues generally constrain growth in the clean energy sector, including lack of transaction standardization, deficient scale and volume, less understood project sponsors and counterparty credits, insufficient data on underlying loan and technology performance, and underdeveloped or nonexistent capital markets for clean energy projects. These barriers are a few of many that limit private sector capital investment,

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**”).

for both equity and debt, into otherwise attractive renewable energy and energy efficiency projects, resulting in gaps in the clean energy finance market.

To address existing barriers, NYGB follows several important operating principles:

- (a) NYGB enhances private sector market participation by providing financial products designed to scale markets for renewable energy and energy efficiency projects;
- (b) NYGB collaborates, rather than competes with market participants that are already making progress in, or can demonstrate an ability to engage the market, but whose progress is constrained by the lack of available financing;
- (c) NYGB works with its clients and counterparties to leverage their capital and institutional capabilities – with a focus on “wholesale” markets (that is, not providing funding directly to consumers/homeowners);
- (d) NYGB generally structures and prices its financial products consistently with commercial approaches to credit quality and risk, earning a return on investment to preserve, and growing its capital base; and
- (e) NYGB recycles its capital into new clean energy projects when income is generated and as investments mature or are realized, maximizing the impact of its capital across multiple deployments.

NYGB’s long-term objective is to provide a bridge to a vibrant, sustainable, growing and efficient private sector clean energy financing market, across all types and sizes of projects. NYGB seeks to operate in areas where there is market interest, but limited access to capital.

More information about NYGB can be found at www.greenbank.ny.gov.

2 NYGB Approach to Interconnection Financing

2.1 General

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.

2.2 Diligence & Credit

NYGB performs extensive diligence and credit analysis of each transaction. The process involves a combination of legal review, primary market research, financial modeling, and qualitative and quantitative review of the sponsor and its project portfolio. Key diligence items for interconnection financing include completion of a CESIR, the zoning approval statuses of the projects, which are a crucial component of ultimately reaching NTP, securing the sites and all main project permits, and the credit profile and experience of the sponsor.

Project sponsors vary greatly in their experience, financial position, and access to capital. These factors have an impact on the structure, terms, and conditions of an interconnection financing. Sponsors may provide an unconditional guarantee of principal and interest, and a stronger sponsor might receive higher leverage or a lower interest rate. However, even the stronger sponsors within the industry are often young companies with limited operating history and uncertain creditworthiness. Therefore, lenders participating in interconnection financings should consider the importance of obtaining a lien on the underlying project or projects (as part of a portfolio) as one component of the collateral package.

2.3 Structuring & Execution

NYGB has structured its existing interconnection financings (which it intends to use as precedents for similar future transactions) on a senior secured basis and has required a perfected first lien security interest in each project company. Generally, a single-purpose SPV is established and owned by the sponsor as varying degrees of independence and separateness are required depending upon the structure and recourse to the sponsor.

In the case where a sponsor guarantee is included, NYGB views the risk as an asset-based lending relationship. Sponsors have an unconditional obligation to pay all principal and interest, and the collateral is subject to covenants and supports recovery in the event of foreclosure. Given that sponsors vary greatly in their creditworthiness, interest rates will vary but will be normalized to an extent by the asset-based nature of the lending. An indicative range of interest rates is between 6% and 9% paid quarterly in arrears. Lenders can expect to receive an upfront fee of 75 – 100 bps.

Interconnection financing transactions are usually non-amortizing with project milestone events including sales, cancellations, and financings triggering interim paydowns prior to maturity (when the entire principal is required to be repaid). Interest can either be structured to be paid on a timely basis or capitalized and paid upon a milestone event or at maturity.

Tenors are usually between 12 – 24 months and vary based upon the characteristics of the portfolio and the business plan of the sponsor. Sponsors deploying a build, own, and operate strategy might benefit from longer tenors versus sponsors seeking to sell at or prior to NTP, which would require a release of the interconnection lender's lien at an earlier stage of development.

As NYGB engages on a greater number of these financings, we seek to standardize the transaction evaluation process in order to compress execution timelines. This is a critical element of the financing as projects are subject to a 60-business day timeline for payment of deposits under the SIR. Any interconnection financing arrangements should generally be executed under an efficient timeline (ideally less than 60 business days) to address this market dynamic and provide real benefit to sponsors.

Strategically, NYGB views these transactions as an attractive investment with a favorable risk versus return profile. Furthermore, it allows lenders to build relationships with developers and equity investors which could lead to additional opportunities to finance the construction and operations of the projects.

2.4 Asset Management

Proper controls and monitoring efforts should be used to track each project's progress. Particular attention should be given to status in the utility's interconnection queue and progress toward achieving full zoning approval. If a project encounters adverse conditions, prepayments should be required. If the sponsor fails to make the required prepayments, lenders would have acceleration rights and benefit from cross-collateralization among all other projects in the portfolio.

3 Content of Responses

NYGB seeks input from capital providers regarding the following:

- Interest rates and tenors at which financing interconnection payments might be attractive;
- Minimum or maximum ticket sizes required by your organization;
- Structural elements required by your organization;
- Gaps or barriers to interconnection financing; and
- Other relevant input.

Respondents should contact Brian Feit or Jason Moore (contact information below) to discuss these items. Our expectation is that NYGB will facilitate both in-person and broader industry discussions with industry participants to further the financing of this integral asset class as part of the renewable expansion in New York State.

Brian Feit	Managing Director	(212) 379-4105	brian.feit@greenbank.ny.gov
Jason Moore	Director	(212) 379-6261	jason.moore@greenbank.ny.gov

Responses to this RFI are due to be submitted to NYGB by **5.00 p.m. EST on Friday, March 30, 2018** by email to solicitations@greenbank.ny.gov. Please include "RFI No. 3" in the subject line.

4 General Conditions

4.1 Proprietary Information

Among NYGB's goals is the promotion of standardization of material contract terms and structures, and the collection of project performance data across NYGB transactions. NYGB is keenly aware that commercial markets and their incumbents value non-disclosure extremely highly to protect confidential transaction terms and other competitive information and NYGB remains highly sensitized to usual and customary confidentiality practices. Nevertheless, as a division of NYSERDA, certain State laws specifically apply to NYGB and it is recommended that careful consideration be given before confidential information is submitted to NYGB.

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.

4.2 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.



NY Green Bank
A Division of NYSERDA

NY Green Bank

Strategic Advisory & Capital Arranger Services

Request for Proposals

RFP No. 9

Version 1.0 - December 2017

1 Introduction

1.1 Opportunity & Overview

NY Green Bank (“**NYGB**”) requests proposals from firms interested in providing strategic advisory and third-party capital raising services related to NYGB’s plan to explore opportunities to expand financing availability for sustainable infrastructure projects.

Sustainable infrastructure (“**Sustainable Infrastructure**”) relates to the deployment of carbon-free or low carbon technologies and related infrastructure that reduce aggregate carbon emissions, improve energy security and support economic growth. NYGB’s Sustainable Infrastructure investments are consistent with eligible technologies established by the New York State (“**NYS**” or the “**State**”) Public Service Commission’s “Order Authorizing the Clean Energy Fund Framework,” issued and effective January 21, 2016, Cases 14-M-0094 et al. For specific examples, please see NYGB’s Illustrative Guidelines for Eligible Technologies on the [Service Providers page](#) of NYGB’s website.

The Sustainable Infrastructure market is large and growing – for example, global spending on power generation capacity over the next 10 years is expected to reach up to \$4.37 trillion, and investment in new wind and solar capacity is expected to amount to \$1.92 trillion (44% of total). In the US, there is an opportunity of up to \$201 billion to enable 135 gigawatts of new wind and solar capacity between 2016 and 2025 alone.¹ NYGB capitalizes on these opportunities and delivers premium returns by investing in Sustainable Infrastructure projects and financing markets where there is limited private market financial participation.

Proposals are due on **January 16, 2018 by 5:00 p.m.** (Eastern Time) and must be submitted online. The online portal for submission will be open from January 2, 2018 at 9:00 a.m.

Each proposal will be reviewed in accordance with the objective evaluation criteria described in [Section 4 \(Proposal Evaluation\)](#). This competitive selection process will be applied consistently to all complete RFP submissions.

Please note that failure to respond to this RFP in a complete manner by addressing all the topics described in [Section 2 \(Eligibility Requirements\)](#), [Section 3 \(Proposal Contents\)](#) and [Section 4 \(Proposal Evaluation\)](#) renders NYGB unable to take further action on a proposal.

1.2 Background

NYGB is a \$1.0 billion investment fund designed to accelerate clean energy deployment in NYS and is globally recognized as a leading Sustainable Infrastructure investor. NYGB’s participation in a growing number of transactions spurs clean energy development in the State, with benefits for New York residents and more broadly. NYGB is a division of the New York State Energy Research and Development Authority (“**NYSERDA**”). More detailed background information on NYGB can be found on its website (www.greenbank.ny.gov) and specifically on the [Service Providers page](#).

Since its formation, NYGB has worked to increase the size, volume and breadth of Sustainable Infrastructure investment activity throughout the State, expand the base of investors focused on NYS clean energy, and increase market participants’ access to capital on commercial terms. To achieve these objectives, NYGB has collaborated with the private sector to develop transaction structures and methodologies that overcome typical clean energy investment barriers. These barriers include challenges in evaluating risk and addressing the needs of distributed energy and efficiency projects where underwriting may be oriented more toward larger opportunities and/or toward groups of more homogeneous investments that make up larger portfolios.

With \$440.9 million committed as of the end of the last fiscal quarter (September 30, 2017), NYGB has demonstrated that many of the financial market barriers to Sustainable Infrastructure projects in NYS are surmountable. Having become an established leader in Sustainable Infrastructure financing, NYGB is able to

¹ Evans, James and Mammadov, Elchin. *Renewable Energy Infrastructure Spending*. Bloomberg Intelligence. Bloomberg Professional Services. March 7, 2017 (see www.bloomberg.com/professional/blog/renewable-energy-infrastructure-spending/).

demonstrate the attractiveness of a variety of Sustainable Infrastructure investments on both a risk/return basis and in terms of impact benefits. Given NYGB's success in unlocking opportunities in the Sustainable Infrastructure market, its established internal operations, experienced team and continued robust pipeline, the organization is positioned to mobilize third-party capital at the portfolio level, which has the potential to deliver even greater benefits to New Yorkers.

Although certain financial participants are, and will continue to be, participants in the individual transactions that NYGB supports, there is a meaningful set of institutional investors seeking to invest in Sustainable Infrastructure deployment, but that require the scale and ongoing investment only provided at a portfolio level. Direct portfolio investment of at least another \$1.0 billion (added to NYGB's existing \$1.0 billion capital) presents a highly impactful way to further accelerate third-party capital into NYGB's target market, and this RFP marks the initiation of a formal process to evaluate options for mobilizing this additional pool of capital.

NYGB's mandate is to collaborate with the private sector on scalable and replicable Sustainable Infrastructure transactions to deliver economic and environmental benefits to NYS utility ratepayers. NYGB intends to continue to employ measures it has used to date as well as innovate new approaches to accelerate clean energy deployment and mobilize third-party capital at the portfolio level to deliver even greater benefits to NY ratepayers.

1.3 NY Green Bank Investment Strategy & Portfolio

Within the broader Sustainable Infrastructure financing market, NYGB focuses on not-yet-mature markets where there is limited competition, low technology risk and meaningful liquidity premiums.

NYGB generally applies project finance and securitization/structured finance techniques to isolate project assets, allocate risks and monetize low volatility cash flows. A typical investment structure is based on the establishment of a project company holding the project's assets, including all of its contractual rights and obligations. Structuring considerations include: LTV, DSCR, or degree of overcollateralization; position within capital structure; offtaker(s) creditworthiness; offtake contract duration; collateral package; and sponsor recourse.

NYGB has to date primarily targeted debt positions, and has focused on a mix of construction-ready and operating project assets to optimize deal flow and returns. In general, NYGB investments are secured by the borrower's ownership in project assets, and present a broad range of credit spreads that target favorable incremental returns versus other senior credit fixed income alternatives with a similar risk profile.

Further information on NYGB's investments can be found on the Portfolio page on its website (www.greenbank.ny.gov/Investments/Portfolio), and in its latest Quarterly Report (available at www.greenbank.ny.gov/Resources/Public-Filings).

1.4 Third-Party Mobilization Opportunity

NYS Governor Andrew M. Cuomo recently announced that NYGB would explore options for raising at least an additional \$1.0 billion in private sector funds to invest at a portfolio level. In addition, Governor Cuomo announced that the third-party funds will allow NYGB to consider investable projects that extend beyond the boundaries of New York State.

Raising third-party capital will benefit New Yorkers by mobilizing more private sector capital to be invested in New York, meaning more is done per dollar of ratepayer capital. In addition, third-party capital will enable NYGB to invest in projects across the United States, accelerating greater scale, standardization, and diversification of NYGB Sustainable Infrastructure investments. This will, in turn, increase liquidity and private sector participation, resulting in reduced financing costs and improved value propositions that can be offered by Sustainable Infrastructure providers to New Yorkers. NYGB's investments are expected to remain consistent with its current mandate as well as within the eligible technical scope of the Clean Energy Fund. Concurrently, and to support NYGB's origination pipeline, NYGB intends to help establish local green banks in other States. In support of these new green banks, NYGB may provide financing along with mid- and back-office services, due diligence, underwriting and general technical support.

As the next step in raising third-party capital for portfolio-level investment, NYGB is issuing this RFP for Strategic Advisory & Capital Arranger Services to engage an advisor(s) to evaluate options for structuring and facilitating such an effort and to assist in securing third-party capital, subject to receipt of any required New York State-related approvals.

2 Eligibility Requirements

This Section 2 describes the minimum eligibility requirements that proposals must meet to be considered by NYGB.

2.1 Scope of Services

NYGB seeks proposals for a range of services aimed at helping NYGB to identify, evaluate and select vehicles/structures for investing third-party capital into a portfolio of Sustainable Infrastructure projects. This includes assisting NYGB, as appropriate, in the subsequent effort to raise third-party capital, following analysis of structural and target investor alternatives.

Specifically, the scope of services covered by this RFP includes:

2.1.1 Strategic Advisory Services; and

2.1.2 Capital Arranger (Placement Agent) Services.

2.1.1 Strategic Advisory Services

NYGB seeks an Advisor to assist in formulating its market strategy related to securing third-party capital investment. Such Strategic Advisory Services include all the services below, with teams of proposers serving as qualifying applicants if/as needed:

2.1.1.1 Review and Assessment of NYGB: Conducting a review and assessment of NYGB's investment strategy, team, portfolio structure, investment returns and other factors relevant to providing Strategic Advisory Services.

2.1.1.2 Market Assessment and Third-Party Investment Structures:

- (a) Evaluating a range of potential investment vehicles/structures (e.g., Separately Managed Accounts, Private Equity GP/LP structures, Securitization/CLOs, Business Development Companies, etc.), including potentially pooling existing NYGB investments with new/future investments;
- (b) Identifying likely target investors for each potential investment vehicle;
- (c) Assessing the economics (e.g., investor return requirements) and likely market interest for each option; and
- (d) Preparing a business case for, and recommending the vehicle(s)/structure(s) that maximize the probability of successful execution of NYGB's expansion plan with high level of confidence in investor demand.

2.1.1.3 Organizational Design:

- (a) Identifying existing organizational risks to successful execution, including working with NYGB staff and NYGB's outside counsel to identify and analyze regulatory and other considerations; and
- (b) Describing changes, if any, to NYGB structure, processes and organization necessary to support NYGB's expansion plan. In addition, consideration of potential

NYGB roles in helping to establish local green banks in other States (e.g., through the provision of financing along with mid- and back-office services, due diligence, underwriting and general technical support).

2.1.1.4 Key Investment Vehicle Characteristics, Terms & Conditions:

- (a) Advising on target size and timing of investment vehicle closure(s); and
- (b) Defining key investment vehicle terms and conditions.

2.1.2 Capital Arranger (Placement Agent) Services

NYGB seeks a Placement Agent(s) to assist with third-party capital raising and related activities, which will be conducted using competitive selection methodologies. Such Placement Agent Services include all of the services below, with teams of proposers serving as qualifying applicants if/as needed:

2.1.2.1 Pre-Marketing Services:

- (a) Defining competitive marketing approach and timeline for fundraising;
- (b) Developing marketing and investment narrative;
- (c) Developing budget for marketing activities, including road shows and other presentations;
- (d) Drafting marketing materials including, as appropriate offering memorandum, presentation book, due diligence book, and other materials;
- (e) Establishing and managing data room; and
- (f) Identifying and qualifying potential investors.

2.1.2.2 Fundraising and Closing Services:

- (a) Identifying and initiating contact with prospective investors;
- (b) Maintaining records of prospective investors contacted, including their level of interest;
- (c) Assisting in the vetting and evaluation of interested investor(s) in being long-term capital providers best suited to assist NYGB in meeting its goals;
- (d) Coordinating the distribution by NYGB of offering and other materials;
- (e) Arranging and attending meetings between NYGB and interested prospective investors;
- (f) Coordinating follow-up activities including responding to prospective investor requests for additional information;
- (g) Delivering investor commitments and closing on such commitments; and
- (h) Tracking and periodically reporting status to NYGB of discussions with prospective investors.

2.1.2.3 Post-Closing Services: Working with NYGB to establish and enhance internal capabilities and processes to expand and evolve existing in-house investor relations activities.

2.2 Proposers

NYGB seeks proposals that will provide both advisory and capital raising services.

Proposers may apply to provide a subset of the services as part of a team, but qualified proposals must include all services described in Sections 2.1.1 (Strategic Advisory Services) and 2.1.2 (Capital Arranger (Placement Agent) Services). Any proposer or member of a proposal team that will be involved in providing Placement Agent Services as described in Section 2.1.2 (Capital Arranger (Placement Agent) Services) above must be a registered broker-dealer with the U.S. Securities and Exchange Commission (“SEC”).

2.3 Process & Timing

NYGB expects the selected Advisor to deliver a preliminary market assessment and initial recommendations for investment structure(s) within four to six weeks of commencement of the engagement, with the expectation that some iteration and feedback will inform a socialized final version approximately four to six weeks later (for a total initial strategic advisory period of eight to 12 weeks).

Following the approval by NYGB management of the recommended structure/vehicle and related business case, there may be a period of time in which NYGB needs to obtain certain consents and approvals. The timeframe of this approval process will depend on the investment vehicles(s) and structure(s) selected. NYGB anticipates that any such approval process will permit NYGB to begin closing on third-party capital commitments in Fall 2018.

3 Proposal Contents

Each proposal should address **all** aspects of the categories described in the sub-sections below in a clear and concise manner, even if certain items may appear self-evident. **Proposers should avoid including materials that are strictly promotional in nature.** NYGB employs a rigorous evaluation process to determine completeness of all proposals against the requirements of this RFP.

Prior to submitting a proposal, proposers should familiarize themselves with the background materials on the [Service Providers page](#) of NYGB's website and with the information accessed through the web links included in the body text and footnotes herein.

Responses should follow the order below and reference the section numbers for each required section. Proposals must be complete, and responses should be concise. Late submissions will not be considered.

3.1 Services to be Provided

3.1.1 Description of Services

Provide a **brief** description of each of the services outlined in Sections 2.1.1 (Strategic Advisory Services) and 2.1.2 (Capital Arranger (Placement Agent) Services) that your firm proposes to provide. Identify the business unit providing each component of the services and, if your proposal includes a team of proposers or subcontracting arrangements, identify the firm that will provide each component of the services, as well as the overall lead organization for the proposal. Where applicable, explain how your provision of the services differentiates you from your industry peers.

3.1.2 Other Services

Use no more than one page to describe any additional services offered by your firm that would facilitate NYGB's objectives as described in Section 2.1 (Scope of Services) above. Provide a specific explanation regarding how such services would support NYGB's achievement of its goals.

3.2 Experience

3.2.1 Firm

Provide a brief summary of the capabilities of your firm that are relevant to your proposed services. Include the number of similar or analogous mandates your firm has completed in the past one year and three years, and a discussion of their relevance to the services requested in [Sections 2.1.1 \(Strategic Advisory Services\)](#) and [2.1.2 \(Capital Arranger \(Placement Agent\) Services\)](#) above. Highlight any areas where the mandates were substantially different from the services to be provided.

Describe how you differentiate your firm from your competitors and its relevance to the services you propose to provide to NYGB.

With respect to Strategic Advisory Services, NYGB expects to evaluate a range of structures and vehicles to determine the optimal market strategy for accepting third-party investment capital to deploy at a portfolio level. An important quality of the selected Advisor will be its ability to reach across multiple business lines within its organization and have its best institution-level thinking guide its recommendations to NYGB. Discuss how your firm would structure the engagement to ensure a holistic approach to developing a recommended market strategy for NYGB. If your firm's experts on each potential investment vehicle/structure reside in different business units, explain how your firm will ensure that the right people are communicating with one another to drive toward an optimal solution for NYGB.

3.2.2 Team

Provide resumes/biographical profiles of the key team members who will provide services to NYGB, including their number of years both of relevant experience and with the firm, as well as professional licensing/registration. Disclose if you intend to delegate to subcontractors and, if so, explain how their experience enhances the potential performance of the team (e.g., they have access to certain types of investors that are not covered by your firm).

Provide the physical address of the office(s) that will provide services to NYGB pursuant to your proposal. List other locations where the firm has offices and describe the capabilities of each if they differ from those of the office that will provide services to NYGB.

Provide information on the number of mandates your team works on annually, and number of mandates the team leadership works on at a time. Describe any conflicts of interest with any other mandates and managers, and describe the process you intend to use for resolving those conflicts.

3.2.3 ESG Commitments & Investing Experience

Discuss your firm's experience both with investments and investors that have an Environmental, Social and Governance ("**ESG**") commitment and full or partial focus, including existing and emerging ESG-related standards (e.g., the United Nations Development Programme's [Sustainable Development Goals](#), the [Principles for Responsible Investment](#) and similar standards). Please describe any recent transactions your firm led that were in large part driven by ESG factors. Discuss how this mandate would align with your firm's strategic initiatives as relates to ESG, climate change and/or the deployment of Sustainable Infrastructure.

3.2.4 Investment Strategies

Discuss your firm's experience and that of the key team members in strategic advisory and/or placement agent services for funds investing in each of the following strategies that are viewed as Fixed Income alternatives by investors:

3.2.4.1 Credit strategies (e.g., Structured Credit, Corporate Credit, Private Credit, Mid-market Corporate Credit);

3.2.4.2 Infrastructure strategies; and

3.2.4.3 Other Fixed Income alternatives.

Include the number of strategic advisory engagements and/or fundraising mandates you have completed in the past one year and three years, and the total dollars raised for each strategy in each time period.

3.2.5 Investment Vehicles/Structures

Discuss your firm's experience and that of the key team members in strategic advisory and/or Placement Agent services in each of the following investment vehicles:

3.2.5.1 Private Equity Fund Structures;

3.2.5.2 Separately Managed Accounts;

3.2.5.3 Securitization/Collateralized Loan Obligations ("CLOs");

3.2.5.4 Business Development Companies or similar entities; and

3.2.5.5 Other relevant investment vehicles.

Include the number of strategic advisory engagements and/or fundraising mandates you have completed in the past one year and three years, and the total dollars raised for each vehicle/structure in each time period.

3.2.6 Investor Access

As relates to Placement Agent Services, discuss the proposal team's experience and that of the key team members in capital raising from the following investor types:

3.2.6.1 Insurance Companies (domestic and non-U.S.);

3.2.6.2 Sovereign Wealth Funds;

3.2.6.3 Pension Funds (domestic and non-U.S.);

3.2.6.4 Endowments and Foundations ("E&F");

3.2.6.5 Impact Investors and investors focused on sustainable investing (corporate and/or E&F);

3.2.6.6 Family Offices;

3.2.6.7 Funds of Funds; and

3.2.6.8 Other.

Provide the size of your investor universe. Include the total investments placed for each investor type in the past one-year and three-year periods. Provide your viewpoint regarding investor types most likely to partner with NYGB. Discuss your ability to syndicate as appropriate with other agents to extend your reach into this target investor base.

3.2.7 Other Experience

In no more than one page each, respond to the following regarding other experience not described above:

3.2.7.1 Describe your firm's experience working with public sector organizations undertaking comparable initiatives. Highlight experiences working with any public entities within New York State.

3.2.7.2 Discuss your firm's experience working with rating agencies and arranging structured debt

specialty finance company transactions.

- 3.2.7.3 Describe your firm's experience working with specialty finance or asset management organizations with risk/return objectives similar to those of NYGB.
- 3.2.7.4 Specifically addressing Strategic Advisory Services, discuss how your firm ensures that recommended fund/investment vehicle structures, fees, governance provisions, etc. are closely aligned with market conditions and investor interest.
- 3.2.7.5 Specifically addressing Placement Agent Services, discuss the two most recent capital raises led by your firm that did not achieve their targets and explain the reasons why each raise did not achieve its targets.
- 3.2.7.6 Describe any additional relevant experience not covered above.
- 3.2.7.7 If your firm envisions that it might potentially be a capital provider, please describe how you would address any resulting conflict of interest.

3.3 Fees & Payments

3.3.1 Attachment A: Fee Schedule

Complete Attachment A: Fee Schedule to describe your firm's fees for each proposed Service, including:

- 3.3.1.1 Fees for Strategy Advisory Services;
- 3.3.1.2 Placement/arranger fee schedule and tiering by amount raised;
- 3.3.1.3 Retainer Fees; and
- 3.3.1.4 Other Service Fees;

3.3.2 Other Fees & Payment Terms

Respond to the following regarding other fees and payment terms:

- 3.3.2.1 For Placement Agent Services, explain if fees are dependent on the investment vehicle/structure determined during the Strategic Advisory Services phase of the engagement with NYGB. If so, discuss the assumptions used for the fees proposed in Attachment A: Fee Schedule.
- 3.3.2.2 For Placement Agent Services, outline the criteria that must be met for your firm to receive credit for having introduced an investor to NYGB.
- 3.3.2.3 For Placement Agent Services, explain if placement/arranger fees will be netted against retainer or other (e.g., Advisory) fees.
- 3.3.2.4 For Placement Agent Services, describe the length and terms of any Fee Tail that your firm is proposing for subsequent offering of capital raising transactions by NYGB in which capital is provided by investors introduced by your firm.
- 3.3.2.5 Describe the timing of payment of placement/arranger fees (e.g., a defined period following the final close) for Placement Agent Services.
- 3.3.2.6 Describe your policy for fee refunds in the case of investor default.
- 3.3.2.7 Describe any additional fees proposed by your firm (e.g., travel related to fundraising efforts) not described above or in Attachment A: Fee Schedule (e.g., for services described in Section

3.1.2 (Other Services)). Provide a specific explanation regarding how such fees constitute an alignment of incentives with NYGB, and any other relevant details (such as success metrics and timing of payment). See Section 5.1 (Costs & Expenses) for more information on expenses.

3.4 Timing & Processes

- 3.4.1 Provide a detailed timeline for executing with NYGB the services your firm has proposed. Include key milestones. Discuss the factors that drive the timing of capital raising and investment closures, and any other critical drivers of launch timeline.
- 3.4.2 Discuss how your team typically engages with clients, including the nature and timing of interactions, the organizational roles represented by your client counterparts and any other information that would enable NYGB to staff up to support the effort. NYGB will provide data the Advisor is expected to require, such as investment information, approval memos, key documentation, organization charts, loan servicing and administrative processes and procedures, etc. Provide a list of specific data/resources your team will need at the commencement of the engagement to facilitate the most expedient pathway forward.
- 3.4.3 Given the importance of regulatory compliance and seamless communication with NYGB, and between the Placement Agent and potential investors, discuss how you use technology to support the services related to compliance, marketing, fundraising, investor communication, investor relations and other relevant activities. Describe the technology platform(s) you will use for the data room, project management and for communication with NYGB, addressing in particular how you will maintain data security and confidentiality of NYGB proprietary information.

3.5 References

Provide three references of organizations to which you have provided services in the past three years similar to those you propose to provide to NYGB. Include contact name, company name, telephone and email contact information, as well as a description of the services you provided.

4 Proposal Evaluation

4.1 Selection Process & Contract Award

Proposals that meet minimum requirements (see Section 2 (Eligibility Requirements)) and include all applicable proposal contents (set out in Section 3 (Proposal Contents)) will be evaluated by NYGB against the criteria set out below.

Proposals that are complete and meet all the requirements set out in this RFP will be reviewed by a scoring committee ("**Scoring Committee**"), using the Evaluation Criteria below, consisting of personnel from NYGB as well as selected outside reviewers. At NYGB's discretion, a multi-phase evaluation format may be used, with a subset of Proposers whose written proposals were most favorably reviewed being invited to give a presentation to address any potential questions, clarifications or specific aspects of their proposal. Presentations will be reviewed by the Scoring Committee and potentially other NYGB/NYSERDA personnel. NYGB anticipates that prior to the presentations it will provide invited proposers with additional materials, predicated upon the execution of a non-disclosure agreement. In addition, NYGB may request any proposer to address any perceived weaknesses in its proposal, including, without limitation, supplementation or replacement of proposal team members.

Final rankings will be made by the Scoring Committee based on written proposals and in-person presentations, and any NYGB-requested modifications to proposals. The highest ranked proposal will be recommended for contract negotiations, though NYGB reserves the right to negotiate with lower-ranked proposers, in rank order, should contract negotiations fail to consummate. The Scoring Committee will review proposals and in-person presentations using the Proposal Evaluation Criteria set out in Section 4.2 (Proposal Evaluation Criteria).

NYGB anticipates making only one award under this RFP to a proposer or team of proposers capable of

providing all required services. NYGB may award a contract based on initial applications without discussion, or following limited discussion, negotiations, or interviews. Each proposal should be submitted using the most favorable cost and terms. NYGB may request additional data or material to support applications. NYGB expects to notify proposers regarding their selection for further evaluation as expediently as possible.

4.2 Proposal Evaluation Criteria

Each proposal will be evaluated using the following evaluation factors:

- 4.2.1 Overall organization and quality of proposal, including completeness, cohesiveness, conciseness, compliance with Section 3 (Proposal Contents) of this RFP, and clarity of response.
- 4.2.2 Quality and depth of the proposal team's expertise and its prior experience providing services similar or analogous to those identified in Sections 2.1.1 (Strategic Advisory Services) and 2.1.2 (Capital Arranger (Placement Agent) Services).
- 4.2.3 Technical capabilities and experience with a range of investment strategies, investment vehicles/structures, and sectors, including:
 - 4.2.3.1 Investment strategies identified in Section 3.2.4 (Investment Strategies);
 - 4.2.3.2 Investment vehicles/structures identified in Section 3.2.5 (Investment Vehicles/Structures); and
- 4.2.4 Quality and size of proposer's investor universe, and experience raising capital from investor types identified in Section 3.2.6 (Investor Access).
- 4.2.5 Quality and depth of proposer's other relevant experience as described in Section 3.2.3 (ESG Commitments & Investing Experience) and Section 3.2.7 (Other Experience), including:
 - 4.2.5.1 Expertise in specialty finance company structuring and organization (and related strategic transactions);
 - 4.2.5.2 Experience with rating agencies and arranging structured debt specialty finance company transactions;
 - 4.2.5.3 Public/private experience; and
 - 4.2.5.4 ESG, climate change and/or Sustainable Infrastructure experience and commitment.
- 4.2.6 Competitiveness of proposed fees and payment terms.
- 4.2.7 Service and Support Model: proposer's client relationship management, service and support model, including:
 - 4.2.7.1 Quality and reasonableness of proposed timeline and project milestones;
 - 4.2.7.2 Commitment of time and resources to the NYGB services; and
 - 4.2.7.3 Proposer's information technology to service the NYGB account and proposer's ability to maintain data security and facilitate compliant investor fundraising.
- 4.2.8 Information provided by client references.
- 4.2.9 Strategic alignment and organizational fit.

5 General Conditions

5.1. Costs & Expenses

Any Advisor selected by NYGB shall be reimbursed for reasonable and necessary actual direct costs incurred (e.g., equipment, supplies, travel, lodging, meals and other costs directly associated with the performance of the services, consistent with an NYGB-approved budget) to the extent required in the performance of the services. Costs should generally not exceed the daily per diem rates published in the Federal Travel Regulations. Reimbursement for the use of personal vehicles shall be limited to the Internal Revenue Service business standard mileage rate.

5.2. Communications

No communication intended to influence this procurement is permitted except by contacting one of the following NYGB individuals or NYGBRFP9@greenbank.ny.gov (each a "Designated Contact"):

Name	Role	Email
Alfred Griffin	President	alfred.griffin@greenbank.ny.gov
Caroline Angoorly	Chief Operating Officer	caroline.angoorly@greenbank.ny.gov
Sarah Davidson	External Affairs	sarah.davidson@greenbank.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: (a) may result in a proposer being deemed a non-responsible offeror; and (b) may result in the proposer not being awarded a contract.

5.3. Municipal Advisor Rules

NYGB is aware of the amendments to Section 15B of the Securities Exchange Act of 1934 effectuated by Section 975 of Title IX of the Dodd-Frank Act, as well as SEC Release No. 34-70462 (September 20, 2013). In this regard, please note that NYGB considers discussions with potential proposers, and the review of proposals, to be arm's-length negotiations. NYGB recognizes that proposers have financial and other interests that differ from NYGB; as such, NYGB does not consider a fiduciary relationship to arise at the proposal stage.

Accordingly, any responses to this RFP would meet the exemption from the "municipal advisor" definition provided by Rule 15Ba1-1(d)(3)(iv) for responses to requests for proposals or qualifications.

5.4. Additional Information & Changes to RFP

NYGB may provide additional relevant information subsequent to the issuance of this solicitation. Respondents are required to consider such information in their responses. Any changes or supplements to, and frequently-asked questions and answers concerning, this solicitation will be posted on [NYGB's website](#) at under RFP No. 9: Strategic Advisory & Capital Arranger Services.

5.5. Proprietary Information

New York's Freedom of Information Law, Public Officers Law, Article 6, provides for public access to information NYSERDA and its divisions possess. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYGB that the proposer wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set out in 21 NYCRR Part 501. The confidentiality of any information submitted cannot be guaranteed.

5.6. Limitation

This RFP does not commit NYGB to agree to participate in any transaction, proceed to negotiate any terms or definitive documentation, pay any costs incurred in preparing a proposal, or procure or contract for services. NYGB reserves the right to accept or reject, in whole or in part, any or all proposals received, to negotiate with all qualified parties, or to cancel in part or in its entirety this RFP when it is in NYGB's best interest.

5.7. Disclosure Requirement

The proposer shall disclose, for any team member, any indictment for alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe the relevant circumstances. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similar governing body. If an indictment or conviction comes to the attention of NYGB or NYSERDA after NYGB has indicated its interest to, or has agreed to enter into or participate in, any transaction NYGB may terminate the agreement and the proposer may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if any team members have ever been disbarred or suspended by any agency of the United States Government or the NYS Department of Labor.

5.8. Accessibility Requirement

NYGB/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](#).

5.9. State Finance Law Sections 139-j & 139-k

NYGB/NYSERDA is required to comply with State Finance Law Sections 139-j and 139-k. These provisions contain procurement lobbying requirements available 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).

5.10. Tax Law Section 5-a

NYGB/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 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.

5.11. Service Provider Agreement

NYGB will negotiate the form and substance of the final service provider agreement with the proposer selected under this RFP; however, NYGB will require that certain New York State provisions be attached to the final agreement as exhibits. These exhibits may be found on the [Service Providers page](#) of NYGB's website, under "Associated Documents". The service provider agreement will be subject to the laws of the State of New York, and will state that any disputes between the parties shall be fully and finally adjudicated in the state courts of the State of New York in accordance with NY Civil Practice Law & Rules §505.

6 Key Dates & Instructions to Submit Proposals

6.1 Critical Dates, Activities & Deadlines

Critical dates, related activities and deadlines relating to the RFP are set forth below. NYGB may change these dates at its sole discretion and convenience, without liability.

Activity	Description	Date(s)
1. Release RFP	Email, online and NY State Contract Reporter	Friday, December 1, 2017
2. Q&A Session for prospective proposers	WebEx or similar method	Friday, December 15, 2017 at 10:00 a.m. EST
3. Portal for online submission of proposals opens	Website portal	Tuesday, January 2, 2018 at 9:00 a.m.
4. Submission deadline for proposals and all required forms	Instructions to Submit Service Provider Proposals will be posted on the Service Provider page of NYGB's website by 9:00 a.m. EST on Tuesday, January 2, 2018	Tuesday, January 16, 2018 by 5:00 p.m. EST
5. Notification if selected for presentation	Email/Telephone	Expected by early February, 2018
6. Presentations by proposers selected for further evaluation	In person, NYGB offices, NYC or via WebEx or similar method	Expected by mid-February, 2018
7. Notification if selected for contract negotiation	Email/Telephone	Expected by the end of February, 2018

6.2 Due Date

All proposals must be submitted through the online portal by **Tuesday, January 16, 2018 at 5:00 p.m. EST**. The online portal will be open for proposal submission from Tuesday, January 2, 2018 at 9:00 a.m. **Proposals that are late or delivered other than through the online portal 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 as part of the online submission process there are required questions that a proposer will have to answer in addition to uploading attachments and NYGB suggests allotting at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 5:00 p.m. EST, files in process or attempted edits or submission after this time will not be accepted. If changes are made to this solicitation, notification will be posted on NYGB's website under "Work with Us", "Service Providers".

6.3 Form & Size of Documents to be Submitted

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 100 MB 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. For detailed instructions on how to submit a proposal online, see the Instructions to Submit Service Provider Proposals, which will be posted on NYGB's [Service Provider page](#) by January 2, 2018.

Attachment A: Proposer Fee Schedule

(See Excel Spreadsheet Provided on [NYGB's Website](#))

Complete Fee Schedule below to describe your firm's fees for each proposed Service.

For each fee component, include the fee basis (e.g. flat fee, monthly fee, etc.) and the fee level. As applicable, describe breakpoints, fee caps, payment terms and other fee structures.

	Fee Basis	Fee Level	Fee Cap (if applicable)	% Creditable Against Placement Agent Fee	Comments
1 Fee for Strategic Advisory Services					

2 Fees for Placement Agent Services

2.1 Placement/Arranger Fee Schedule and Tiering by Amount Raised

	Investment Vehicle	Breakpoint Limits		Cash Fee (%)	Other Fee (Specify)	Payment Terms		
		From Amount (\$MM)	To Amount (\$MM)			Timing (Select from Drop Down Menu)	Number of Payments	Tell Term (Months)
Breakpoint 1 (specify):	GP/LP	0						
Breakpoint 2 (specify):								
Breakpoint 3 (specify):								
Breakpoint 4 (specify):								
Breakpoint 1 (specify):	Separate Account	0						
Breakpoint 2 (specify):								
Breakpoint 3 (specify):								
Breakpoint 4 (specify):								
Breakpoint 1 (specify):	CLO - Debt	0						
Breakpoint 2 (specify):								
Breakpoint 3 (specify):								
Breakpoint 4 (specify):								
Breakpoint 1 (specify):	CLO - Equity	0						
Breakpoint 2 (specify):								
Breakpoint 3 (specify):								
Breakpoint 4 (specify):								
Breakpoint 1 (specify):	BDC or Similar Entities	0						
Breakpoint 2 (specify):								
Breakpoint 3 (specify):								
Breakpoint 4 (specify):								
Breakpoint 1 (specify):	Other (Specify)	0						
Breakpoint 2 (specify):								
Breakpoint 3 (specify):								
Breakpoint 4 (specify):								
Breakpoint 1 (specify):	Other (Specify)	0						
Breakpoint 2 (specify):								
Breakpoint 3 (specify):								
Breakpoint 4 (specify):								

	Fee Basis	Fee Level	Netted Against Placement/Arranger Fee (Yes/No)	Comments
2.2 Retainer Fees				

	Setup Fee	Monthly Fee	Passthrough to NYGB (Yes/No)	Comments
2.4 Data Room Fees				

3 Other Fees

Other Fee 1 (Describe)				
Other Fee 2 (Describe)				
Other Fee 3 (Describe)				

NY Green Bank

Construction & Aggregation-to-Term Financing for Community Distributed Generation Solar Projects

Request for Proposals

(Ongoing Solicitation)

1 Introduction

1.1 Opportunity & Overview

On July 17, 2015, the New York State Public Service Commission (“**PSC**”) established the policies, requirements and conditions for implementing a Community Distributed Generation (“**CDG**”) Program (“**CDG Program**”).¹

The CDG Program is comprised of:

- (a) Eligible power generating facilities located behind non-residential host meters;²
- (b) Project members or subscribers (each, a “**Project Member**”) located at other sites who own or contract a portion of the monetary or volumetric credits, as applicable, generated by these power generating facilities (“**Bill Credits**”) to offset charges on their electric bills; and
- (c) CDG sponsors responsible for managing the operation of these power generating facilities, which includes administering billings and collections, and coordinating the allocation of Bill Credits to Project Members with the applicable distribution utility.

The CDG Program provides opportunities for:

- (a) Distributed Energy Resource (“**DER**”) suppliers to achieve greater economies of scale, expand their customer base and further the deployment of DERs in New York State (“**NYS**” or the “**State**”);
- (b) NYS ratepayers unable or unwilling to install solar, small wind, or other DERs onsite to participate directly in DER markets; and
- (c) Investors to fund scalable portfolios of CDG projects that incorporate commercially-proven technologies and may deliver attractive risk-adjusted returns.

NY Green Bank (“**NYGB**”) invites project developers or sponsors (“**Proposers**”) to propose transactions (each, a “**Proposal**”) where the Proposer seeks senior secured construction and aggregation-to-term financing (a “**NYGB Loan**”) from NYGB to monetize expected cash flows to be generated by a portfolio of operating CDG solar photovoltaic (“**PV**”) generating facilities in NYS (each a “**Project**” and, collectively, the “**Portfolio**”) that meet the following key eligibility requirements (“**Key Requirements**”):^{3,4}

- (a) Will comply with all applicable provisions established under the Uniform Business Practices for DER Suppliers (“**UBP-DER**”);⁵
- (b) Will be compensated under the Value of Distributed Energy Resources (“**VDER**”) Phase One Tariff;
- (c) Will generate revenue from Project Member payment obligations, established and enforced under subscription agreements and/or sales agreements (each a “**Revenue Contract**”);

¹ Case 15-E-0082, *Proceeding on Motion of the Commission as to the Policies, Requirements and Conditions For Implementing a Community Net Metering Program*, Order Establishing a Community Distributed Generation Program and Making Other Findings (issued July 15, 2015).

² Case 15-E-0751, *In the Matter of the Value of Distributed Energy Resources*, Order on Phase One Value of Distributed Energy Resources Implementation Proposals, Cost Mitigation Issues, and Related Matters (issued September 14, 2017).

³ All submissions pursuant to this RFP involving the utilization of third-party tax equity are eligible for NYGB back-leveraged loans.

⁴ NY Public Service Law § 66-j solar project definition can be reviewed at www.codes.findlaw.com/ny/public-service-law/pbs-sect-66-j.html, see “Solar electric generating equipment” in Section 1(d).

⁵ Case 15-M-0180, *In the Matter of Regulation and Oversight of Distributed Energy Resource Providers and Products*, Order Establishing Oversight Framework and Uniform Business Practices for Distributed Energy Resource Suppliers (issued October 19, 2017).

- (d) Will use Tier 1 panels;⁶
- (e) Are in advanced stages of development (commonly described as near “shovel ready”); and
- (f) Will be 500 kWac to 2 MWac in size, ground-mounted, canopy-mounted or non-residential rooftop Projects at a single location.⁷

NYGB will review multiple Proposals under this Request for Proposal (“RFP”) No. 10 from the same or related Proposers, although each Proposal will be evaluated as a separate transaction. If it receives multiple Proposals from the same or related Proposers, NYGB will process the Proposals in the order in which they are received.

NYGB encourages those that decide not to make a Proposal at this time due to the requirement of this RFP for Projects to be in an advanced stage of development to continue development of their projects, targeting areas which would enhance their ability to meet the requirements delineated in this RFP in the future. NYGB reserves the right to supplement or close this RFP at any time. If NYGB supplements or closes this RFP, details will be posted at <https://greenbank.ny.gov/Work-with-Us/Propose-an-Investment>, under RFP No.10.

Market participants who are not seeking construction and/or aggregation-to-term financing for CDG projects or who are developing projects that are not part of the CDG Program should consider submitting proposals requesting NYGB financial participation under “Clean Energy Financing Arrangements, Request for Proposals”, an ongoing solicitation known as “RFP No. 1”, rather than under this RFP.

Electronic submission of Proposals is required. [Instructions to Submit Proposals](#) can be found on the “RFP Resources” page on the NYGB website. This RFP will remain open, and Proposals will be evaluated on a rolling basis, as received. The purpose of an ongoing RFP process is to ensure that all potential NYGB clients and counterparties have an opportunity to propose transactions and financing arrangements, as market needs develop and change over time. Each submission will be reviewed in accordance with an evaluation of the completeness and quality of Proposals in addressing all the matters described in [Section 3 \(Eligibility Requirements\)](#), [Section 4 \(Proposal Contents\)](#), and [Section 5 \(Proposal Evaluation\)](#). This competitive selection process will be applied consistently to all complete RFP submissions.⁸

As an ongoing solicitation, Proposers may resubmit Proposals if circumstances change, or if the initial Proposal does not address this RFP in a complete manner. Any commonly used formats (e.g., Microsoft Word, PowerPoint, Excel and Adobe PDF) for commercial submissions are welcome. Proposers can expect the initial response following NYGB’s receipt of a Proposal generally within two weeks from the date of such receipt.

Direct communication and engagement between NYGB and potential clients and counterparties is permitted, prior to proposal submittal and after NYGB’s evaluation of a Proposal. If you have questions or seek further engagement, please contact InvestmentRFPs@greenbank.ny.gov (including “RFP No.10” in the subject line). If you have questions regarding the Securities and Exchange Commission Municipal Advisor Rules, please see [Section 6.3 \(Municipal Advisor Rules\)](#).

Please note that failure to respond to this RFP in a complete manner by addressing all the topics described in Section 3 (Eligibility Requirements), Section 4 (Proposal Contents) and Section 5 (Proposal Evaluation) renders NYGB unable to take further action on a proposal.

1.2 RFP Objectives

Residential and non-residential customers offer a substantial market opportunity to DER suppliers as potential CDG Program participants. However, the ability to finance CDG projects may be constrained given:

- (a) A nascent market of DER suppliers and third-party service providers;

⁶ For more information on the tiering system for PV module makers developed by Bloomberg New Energy Finance see www.about.bnef.com/content/uploads/sites/4/2012/12/bnef_2012-12-03_PVModuleTiering.pdf.

⁷ Upper size limit may change subject to future laws, regulations or administrative proceedings.

⁸ Subject to the Office of State Comptroller Rule (Part 206 to NYRR Title 2) (the “Comptroller Rules”) and consistent with NY Green Bank Operations & Procedures Manual.

- (b) The initial application of market strategies and business models that seek to address the ongoing acquisition, management and replacement of Project Members, which may include renters, low-to-moderate-income consumers, and small and medium-sized enterprises;
- (c) Need for standardization (documentation, financial analysis, project underwriting, etc.); and
- (d) High transaction soft costs (legal, engineering, consulting, etc.) as a percent of project cost.

Under this RFP, NYGB seeks to overcome the above constraints and support the incorporation of the VDER Phase One Tariff (consisting of two components, the Phase One Net Energy Metering Tariff and the Value Stack Tariff) regulatory framework in financing structures, and acceleration of DER deployment by offering debt financing under terms that result in standardized Portfolios of aggregated Projects that will attract private sector lenders as financial participants with NYGB. Key elements of this RFP include:

- (a) A request for Proposals from a nascent market to create financing scale needed to “crowd in” broad private financial market participation;
- (b) A standardized approach to: (i) structuring; (ii) documentation; (iii) project financial analysis; and (iv) engineering and consulting, such that the analysis and underwriting process is more efficient for developers, NYGB and future private market financing participants;
- (c) Reduced transaction soft costs through a standardized approach and the utilization of a consistent set of lawyers, engineers and other consultants – all experienced in these types of transactions – on a negotiated programmatic basis;
- (d) A Revenue Contract underwriting approach that not only includes a review of the Proposer’s credit policy but also considers the ability to re-assign Bill Credits to new and current Project Members in the event a Revenue Contract counterparty no longer meets its payment or contractual obligations. Critical elements of this aspect of the underwriting methodology are: (i) Proposer’s (or a designated party’s) ability to contract with a new Revenue Contract counterparty; (ii) assessed future value of Bill Credits to a new Revenue Contract counterparty (see [Section 3.2 \(Revenue Contract Analysis\)](#)); (iii) estimated number of eligible customers for a given Project; and (iv) Proposer’s ability to administer and maintain the Project membership; and
- (e) A clearly defined RFP submission process, streamlining the transaction approval process and timeline.

Through this RFP, NYGB seeks to: (i) accelerate the deployment of clean DERs; and (ii) provide a financing framework that may be utilized in the future by equity investors and private sector lenders. In a subsequent version of this RFP, NYGB may include template term sheets.

1.3 Background

NYGB is a \$1.0 billion investment fund designed to accelerate clean energy deployment in NYS and is globally recognized as a leading sustainable infrastructure (“**Sustainable Infrastructure**”) investor.⁹ NYGB’s participation in a growing number of transactions spurs clean energy development in the State, with benefits for New York residents and more broadly.

Since its formation, NYGB has worked to increase the size, volume and breadth of Sustainable Infrastructure investment activity throughout the State, expand the base of investors focused on NYS clean energy, and increase market participants’ access to capital on commercial terms. To achieve these objectives, NYGB has collaborated with the private sector to develop transaction structures and methodologies that overcome typical clean energy investment barriers. These barriers include challenges in evaluating risk and addressing the

⁹ Sustainable Infrastructure relates to the deployment of carbon-free or low carbon technologies and related infrastructure that reduce aggregate carbon emissions, improve energy security and support economic growth. NYGB’s Sustainable Infrastructure investments are consistent with eligible technologies established by the New York State Public Service Commission’s “Order Authorizing the Clean Energy Fund Framework,” (issued January 21, 2016), Cases 14-M-0094 et al. For specific examples, please see NYGB’s Illustrative Guidelines for Eligible Technologies on the Service Providers page of NYGB’s website.

needs of distributed energy and efficiency projects where underwriting may be oriented more toward larger opportunities and/or toward groups of more homogeneous investments that make up larger portfolios.

NYGB's mandate is to collaborate with the private sector on scalable and replicable sustainable infrastructure transactions to deliver economic and environmental benefits to NYS utility ratepayers. NYGB intends to continue to employ measures it has used to date as well as innovate new approaches to accelerate clean energy deployment and mobilize third-party capital at the portfolio level to deliver even greater benefits to NY ratepayers.

More detailed background information on NYGB can be found on its website (www.greenbank.ny.gov).

2 NYGB Approach to Financing Structure & Pricing

NYGB operates as a self-sustaining entity, pricing investments to cover its operating expenses and portfolio default risk, and to preserve its capital base. 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 sector in NYS. Pricing will reflect the underlying transaction credit quality, risk, position in the capital structure and level of standardization and scale NYGB seeks to facilitate, with the goal of creating investments in which private sector lenders will ultimately be willing to participate at the agreed pricing levels. NYGB investment terms will be determined by credit risk and exposure assumed by NYGB and other investment participants. For NYGB products, upfront and ongoing fees generally apply.

3 Eligibility Requirements

3.1 Eligibility

As described in [Section 1.1 \(Opportunity Overview\)](#), the Key Requirements must be satisfied for submissions pursuant to this RFP. Eligibility requirements are designed to demonstrate shovel-ready Projects appropriate for near-term financing and to allow Proposers to make a self-determination if they meet the eligibility requirements, thus conserving resources for all parties.

Eligibility requirements are listed below in this [Section 3.1](#). Of these requirements, those marked with an asterisk (*) and underlined, are threshold eligibility requirements (the "**Threshold Requirements**"). NYGB will not consider Projects that do not meet the described Threshold Requirements. For all other requirements, contracts do not have to be finalized or executed although the more advanced they are, the greater the weight that will be given to them in the evaluation process. First drafts of agreements, especially those which have not been subjected to a negotiation process between the parties, will be given limited weight as they will be considered early stage.

NYGB will determine eligibility based on evaluation of the criteria set out below. All Projects within the Portfolio must be identified. For at least one Project, NYGB must be able to determine eligibility based on evaluation of the following criteria. Subsequent Projects within the Portfolio will be evaluated on the same basis as described in this RFP.

3.1.1 ***Submitted & Approved Applications for NY-Sun Incentives**¹⁰

The Proposer must provide confirmation that applications requesting financial incentives under the NY-Sun Incentive Program were submitted to, and approved by, NY-Sun. NYGB will waive this requirement for those Proposals that contain a statement identifying the Projects within the Portfolio for which the Proposer did not submit applications to receive financial incentives under the NY-Sun Incentive Program.

¹⁰ For more information on the NY-Sun Incentive Program see www.nyserda.ny.gov/All-Programs/Programs/NY-Sun.

3.1.2 *CESIR or Interconnection Arrangements

The Proposer must provide confirmation that Coordinated Electric System Interconnect Review(s) (“**CESIR**”) have been completed by the respective utilities. NYGB will not evaluate Projects yet to complete Step 6 of the NYS Standardized Interconnection Requirements and Application Process.¹¹

3.1.3 *Site Control

The Proposer must demonstrate how it controls or will control each Project site within the Portfolio for up to 25 years.

3.1.4 Permits

Projects that satisfied the NY-Sun Incentive Program’s CESIR Milestone requirements are considered to be in an advanced stage of development regarding permitting.¹²

For any Projects for which the Proposer did not request financial incentives under the NY-Sun Incentive Program, the Proposer must provide confirmation that all applications have been submitted for all required jurisdictional permits and approvals.

3.1.5 *NYS Environmental Quality Review Act (“SEQRA”) Analysis

The Proposer must provide a short form Environmental Assessment Form (“**EAF**”) directly to NYGB along with any other SEQRA materials prepared for other permitting or approval agencies relevant to the Projects within the Portfolio.

3.1.6 *Municipal Moratorium

NYGB may decide to defer consideration of Projects located in towns with solar moratoriums.

3.1.7 *Property Tax Exemption

NYGB will need confirmation whether property tax exemptions will continue to apply to Projects within the Portfolio and if payment-in-lieu of taxes (“**PILOT**”) agreements pursuant to Real Property Tax Law § 487 have been or will be executed.¹³

3.1.8 Equipment Supply

NYGB will judge a Project to be in an advanced development stage if all major equipment (including but not limited to panels, inverters and racking) is identified and is subject to finalization of a purchase order with vendors. Panels must be classified as Tier 1. Executed agreements do not have to be in place. If equipment supply is part of an Engineering, Procurement & Construction (“**EPC**”) contract, these eligibility requirements will be evaluated as part of Section 3.1.9 (Construction Contracts).

¹¹ As described in “New York State Standardized Interconnection Requirements and Application Process for New Distributed Generators 5 MW or Less Connected in Parallel with Utility Distribution Systems” issued by the PSC in August 2017, as published on the NY PSC website. Since the URL is complex, Google search for “Updated NYS Standardized Interconnection Requirements (August 2017)” to be directed to the appropriate page.

¹² To satisfy NY-Sun Incentive Program’s project application requirements under the “Project Maturity Track” for which a CESIR is required, no later than 180 days from the date the NYSERDA incentive was approved, a participating contractor must provide: (i) an executed NYS standardized interconnection contract; (ii) confirmation from the respective utility of receipt of advance payment for the estimated interconnection costs per the NYS Standardized Interconnection Requirements and Applications Process; and (iii) a completed CESIR Milestone Form, which includes an attestation confirming that applications have been submitted for all required jurisdictional permits and approvals. For more information, see the [NY-Sun Commercial/Industrial >200kW Program Manual](#).

¹³ New York State Real Property Tax Law (“**RPTL**”) § 487 provides a 15-year real property tax exemption for properties located in New York State with renewable energy systems, including solar electric systems. For more information on RPTL § 487, see [Understanding New York State’s Real Property Tax Law § 487 fact sheet](#).

3.1.9 Construction Contracts

Advanced development stage Projects will have well-defined and negotiated contracts for the installation of equipment, balance of plant (“**BOP**”) or EPC arrangements. The status of such construction contracts will be evaluated in determining the development status.

3.1.10 Revenue Contracts

NYGB will only consider Projects with well-developed Revenue Contracts, which comply with all applicable laws and regulations. Refer to [Section 3.2 \(Revenue Contract Analysis\)](#) for more information regarding NYGB’s Revenue Contract underwriting approach.

3.1.11 Project Member Acquisition Arrangements

Project Member acquisition arrangements should be well-developed and include pricing and providers with demonstrated expertise and capabilities to fulfill their responsibilities.

3.1.12 Project Membership Management & Administration Arrangements

Project membership management and administration arrangements should be well-developed and include pricing and providers with demonstrated expertise and capabilities to fulfill their responsibilities.

3.1.13 Revenue Contract Billings & Collection Servicing Arrangements

Revenue Contract billings and collection servicing arrangements should be well-developed and include pricing and providers with demonstrated expertise and capabilities to fulfill their responsibilities.

3.1.14 Operations & Maintenance (“O&M”) Arrangements

O&M arrangements should be well-developed and include pricing and providers with demonstrated expertise and capabilities to fulfill their responsibilities.

3.1.15 Equity Commitment

NYGB will evaluate the amount of equity to be invested in each Project, the debt-to-equity ratio and the strength of the equity commitments at the time of the Proposal when determining eligibility. Projects without identified sources of equity may be eliminated from further consideration.

3.1.16 Debt Term

NYGB intends to limit the term of a NYGB Loan to no more than 10 years from the commercial operation date (“**COD**”) of the last Project included within the Portfolio.

3.1.17 *Pro Forma Model

The Proposer must provide the Portfolio model (which should include a model for each Project in the Portfolio). During the transaction approval and diligence process, a more detailed operating and financial pro forma model will be used. The more detailed model will incorporate panel output and degradation, solar irradiance, etc., and will be used by NYGB to evaluate the Projects. This model will include a data input sheet documenting the source of all inputs. The model will be a project document as defined in the loan agreement and will jointly be agreed to between NYGB and the borrower.

3.1.18 Key Financial Terms Including Debt Service Coverage Ratio (“DSCR”)

NYGB intends to review the Proposer’s financial models (as submitted per [Section 4.3.1 \(Pro Forma Model\)](#)) to evaluate the quarterly DSCRs for the proposed transaction. In recognition of seasonality and the constraints imposed by a maximum term of 10 years, NYGB will consider alternative principal amortization schedules and/or reserves to meet acceptable DSCRs. NYGB may consider a mandatory refinancing for some level of

principal repayment provided sufficient term remains under the Project's VDER Phase One Tariff to allow for such a refinancing. Due to the cash flow issues arising from seasonality, NYGB will evaluate quarterly DSCRs over both trailing and projected 12-month periods in addition to comparing the Revenue Contract pricing with Bill Credit forecasts.

3.1.19 Assignment

As part of its security package, NYGB intends to take a first-priority security interest in all assets of the borrower including all contracts and agreements. NYGB will seek to confirm that contracts have provisions for step-in rights and the assignment of major contracts and agreements to NYGB.

3.1.20 Reserves

In addition to an appropriately sized debt service reserve, NYGB will generally require the establishment of a one-year O&M reserve, together with an appropriate inverter replacement reserve.

3.1.21 Independent Engineer ("IE")

Proposer should be prepared to support the complete data request that comes with the preparation of an IE report which will be completed prior to approval of any transaction. In some cases, if the Proposer has retained an IE, NYGB may accept the IE report prepared by Proposer's IE subject to a reliance letter, provided that such report meets the requirements of NYGB.

3.1.22 Multiple Proposals

If the Proposer contemplates making multiple Proposals, indication of such intent should be included in the Proposal, and the Proposer should state whether the same equity parties will be participating in all the proposed Projects.

3.1.23 Prevailing Wages

If a Project is considered a public work covered by Article 8 of the NY Labor Law or a building service agreement covered by Article 9 thereof by reason of the involvement of a public entity as host or Revenue Contract Counterparty, then the borrower, project company and sponsor will, during the construction of the Project, comply (and cause each contractor and subcontractor to comply), and will certify compliance, with all NYS prevailing wage and hours laws and regulations. Proposer will be required to address the applicability of prevailing wage requirements.

3.2 Revenue Contract Analysis

NYGB will evaluate the terms and conditions established under the Proposer's Revenue Contracts, which may include, without limitation, the following:

- (a) Payment conditions and method of calculation;
- (b) Length of agreements, commencement dates, end dates and renewals;
- (c) Performance and/or savings guarantees;
- (d) Data sharing and privacy policies;
- (e) Insurance provisions;
- (f) Capacity allocation/subscription size and method of calculation;
- (g) Bill Credit types (volumetric or monetary);
- (h) Estimated Project Member benefits (expected generation, net-savings, etc.);

- (i) Potential and actual events of default;
- (j) Assignment provisions
- (k) Cure periods and remedies; and
- (l) Contract termination conditions, requirements and costs and method of calculation.

NYGB will evaluate the Proposal with the assumption that remarketing of banked and/or unallocated Bill Credits is a credit mitigant if a Revenue Contract counterparty were to default. Furthermore, NYGB may finance Portfolios that generate revenues from Revenue Contracts that may include indexed rate structures, low termination fees and/or short-term durations. To maintain an appropriate level of overcollateralization and mitigate refinancing risk, the NYGB Loan will be subject to a borrowing base methodology, whereby, on a quarterly basis, NYGB will compare the present value of the forecasted cash available to debt service under base-case assumptions, determined using applicable Bill Credit forecasts generated by an independent third party on NYGB's behalf, to the outstanding NYGB Loan balance. In cases where the loan-to-value ratio ("LTV") or minimum DSCR are outside required levels, distributions at the borrower level will be blocked and excess cash may be used to pay down the NYGB Loan until the required LTV or minimum DSCR is achieved.

NYGB will evaluate Revenue Contract counterparty credit issues that might imperil the transaction and will assess the following information:

- (a) Identification of remarketer which may be the Proposer (if qualified) or a qualified third party; and
- (b) Identification of potential replacement customers.

3.3 Credit Policy Analysis

NYGB will review the Sponsor's credit policy, establishing, without limitation, the following:

- (a) Revenue Contract application and approval process;
- (b) Revenue Contract counterparty underwriting criteria (e.g., FICO score, utility, rent, and/or cell phone payment history);
- (c) Revenue Contract collections policy;
- (d) Project Member replacement policy;
- (e) Record retention policy;
- (f) Compliance with all applicable laws and regulations; and
- (g) Compliance monitoring activities.

4 Proposal Contents

The purpose of the Proposal is to provide a complete and detailed description of the Portfolio. The Proposal should clearly demonstrate the advanced stage of project development. While being comprehensive, the Proposal should simultaneously strive to be succinct.

The Proposal should be organized as described below and should address all requested components. Should the Project(s) have special attributes or features not captured by the categories below, these should be included in the description.

The Proposal has several objectives:

- (a) NYGB should be able to develop a clear understanding of the Portfolio, including its features, structure and all associated risks;
- (b) There should be a clear demonstration of the advanced development of each Project and the readiness for financing in a relatively short time period;
- (c) The Proposal should clearly articulate the status of each aspect of the Portfolio as part of the description of each component; and
- (d) The Proposal should clearly articulate the remaining major steps requiring completion before financing, any issues expected in completing these steps and the schedule for such completion.

4.1 Summary

Provide a concise summary of the Portfolio that:

- (a) Identifies the Proposer and contact information;
- (b) Summarizes salient features of the Portfolio including the project addresses, capital costs, project sizes (kW or MW), technology and Revenue Contracts; and
- (c) Describes the key components of the requested NYGB Loan, commitment amount, term and method of amortization.

4.1.1 Attachment A: Project Description

Complete Attachment A: Project Description to outline for each Project key items, including:

- (a) Project location (utility territory and New York Independent System Operator load zone);
- (b) VDER Phase One Tariff type;
- (c) NYSERDA incentive amount;
- (d) Project size;
- (e) Expected total project cost; and
- (f) Expected energy generation.

4.2 Transaction Credit, Financial, Technical & Risk/Return Considerations

4.2.1 NYGB Financing

The Proposer should provide a detailed description of the financing that it is seeking from NYGB under this RFP. The information should be provided on a project basis and in aggregate for the Portfolio. Topics to be addressed include:

- (a) Loan amount for each Project and aggregate commitment amount for the Portfolio;
- (b) Debt-to-equity ratio;
- (c) Term;
- (d) Amortization schedule including discussion of any requested sculpting or refinancing requirements;

- (e) Minimum and average DSCRs over the term portion of the NYGB Loan;
- (f) Debt Service, O&M, and inverter replacement reserves; and
- (g) Conformity with the requirements of Section 3.2 (Revenue Contract Analysis) and Section 3.3 (Credit Policy Analysis).

4.2.2 Equity, Tax Equity & Other Financial Support

The Proposal should address, at a minimum, the following topics to provide clarity on the proposed capitalization amounts, equity participants and equity amounts by source:

- (a) Equity and tax equity source(s), as applicable, amount(s) and the status of the equity and tax equity raise (see Section 3.1.15 (Equity Commitment));
- (b) If all the equity is not sourced from the Proposer or its Sponsor, the name and contact information for all third-party equity, including tax equity. NYGB may contact third-party equity during its evaluation to discuss the Portfolio;
- (c) The level of Proposer equity to be invested in the Portfolio, including the amount of Proposer equity during construction and the amount remaining during the term period post-COD; and
- (d) All incentives that will be applied to the Portfolio including any incentives received during construction and operation, including corresponding incentive amounts and timing of expected receipt thereof (see Section 3.1.1 (Submitted & Approved Application for NY-Sun Incentives)).

Note that NYGB will require that the Proposer or Sponsor equity is fully invested in the Projects, which may include payments for interconnection upgrades, before debt may be drawn.

4.3 Financial Model & Contractual Arrangements

4.3.1 Pro Forma Model

NYGB will review the single project model and the portfolio model (which should include a model for each Project in the Portfolio) prepared by the Proposer or a third party.

4.3.2 Revenue Contracts

Provide a detailed description of the Revenue Contracts including a description of counterparties and the Revenue Contract arrangements with sufficient detail for NYGB to evaluate the revenue arrangements. Also, include the current status of the contractual arrangements, the steps necessary to complete, and the schedule for doing so. Address the requirements of Section 3.2 (Revenue Contract Analysis) and Section 3.3 (Credit Policy Analysis).

4.3.3 Project Member Acquisition Arrangements

- (a) Provide information on the party that will be acquiring Project Members for each Project including their qualifications for, and experience in, this role;
- (b) A summary of basic terms of the Project Member acquisition management arrangements, including pricing and the source for determining such pricing; and
- (c) A description of the status of the Project Member acquisition management arrangements.

4.3.4 Project Membership Management & Administration Arrangements

- (a) Provide information on the party that will be managing and administering the project membership and utility interactions, including their qualifications for, and experience in, this role;

- (b) A summary of basic terms of the project membership management and administration arrangements, including pricing and the source for determining such pricing; and
- (c) A description of the status of the project membership management and administration arrangements.

4.3.5 Revenue Contract Billings & Collection Servicing Arrangements

- (a) Provide information on the party that will be providing Revenue Contract billing and collections servicing arrangements for the Projects, including their qualifications for, and experience in, this role;
- (b) A summary of basic terms of the Revenue Contract billing and collections servicing arrangements including pricing and the source for determining such pricing; and
- (c) A description of the status of the Revenue Contract billing and collections servicing arrangements.

4.3.6 Project Construction Arrangements

- (a) A description of the contractual arrangements for the procurement of all major equipment and their current status;
- (b) Identification of the installation, EPC and/or BOP contractors, including their qualifications to perform their respective roles on the Projects;
- (c) A description of the contractual arrangements for the installation, EPC and/or BOP activities including their current status; and
- (d) A complete construction budget showing sources and uses, a draw schedule for both debt and equity and a detailed construction budget with all expenditures prior to project completion. NYGB will require that the equity be funded in advance of draws on the NYGB Loan.

4.4 Technical Considerations

4.4.1 Technology

Provide a complete description of the technology utilized by each Project including:

- (a) Equipment components, configuration and suppliers for, at a minimum, the panels, inverters and racking, and confirmation that the panels are Tier 1; and
- (b) A description of warranties and performance guarantees, if any.

4.4.2 Interconnection

- (a) Provide confirmation that the CESIR process has been completed through Step 6 (see Section 3.1.2 (CESIR or Interconnection Arrangements));
- (b) Detail any necessary interconnection arrangements including equipment, if any, and its status; and
- (c) Provide projected costs and timeline for construction.

4.4.3 Site Control

Please provide a description of how the Proposer does or will control the project sites for up to 25 years. Include in this description details of the necessary contractual arrangements and their current status. If there are any steps remaining to fully control the site, such as conditions precedent in contractual arrangements, please identify them and describe the process and schedule for completing these steps. If the site has not yet

been purchased or leased, provide confirmation that the party currently in control of the site has clear authority to enter into sale or lease arrangements.

If the site is not currently owned by a tax paying entity (e.g., public land or tax-exempt institution), detail the expected tax treatment of the Projects including expected exemptions, if any. Address the requirements of [Section 3.1.7 \(Property Tax Exemption\)](#).

4.4.4 Permits & Environmental

Proposer is requested to describe the following:

- (a) The status of permit acquisition including permits received, significant outstanding permits and the permitting schedule to support transaction closing (see [Section 3.1.4 \(Permits\)](#));
- (b) Please indicate the status of the SEQRA process with respect to the Projects (see [Section 3.1.5 \(NYS Environmental Quality Review Act Analysis\)](#)). Provide confirmation that the EAF has been fully completed and submitted to relevant agencies;
- (c) Describe any special site characteristics such as being a former landfill or if another kind of brownfield, previous site uses. If there are special site characteristics, describe how they are being addressed in the design and development process for the Projects along with any special permitting or consultation with environmental agencies, which is required;
- (d) Describe any identified environmental issues such as hazardous waste contamination on the Project sites. Note that NYGB will require at least a Phase 1 environmental assessment;
- (e) Indicate whether any Projects has attracted any environmental or other opposition and the extent and nature of such opposition including a description of the opposing parties. Include any steps taken to address such opposition; and
- (f) Indicate whether any of the sites in which the Projects will be located are subject to solar moratoriums and provide details on any such moratoriums (see [Section 3.1.6 \(Municipal Moratorium\)](#)).

4.4.5 O&M Arrangements

- (a) Provide information on the party that will be providing the O&M for the Projects including their qualifications for, and experience in, this role;
- (b) A summary of basic terms of the O&M arrangements, including pricing and the source for determining such pricing; and
- (c) A description of the status of the O&M arrangements.

4.4.6 Insurance

Provide a description of the contemplated insurance program including proposed limits for the construction, operation and liability cover, key sub-limits and deductibles.

4.4.7 Remaining Development Requirements

This section of the Proposal should clearly articulate the remaining major steps requiring completion before financing, any issues expected in their completion and the schedule for completing the outstanding steps.

4.5 Expected Clean Energy Outcomes & Ongoing Tracking/Reporting Capability

The Proposal should address the following areas:

- (a) Mobilization of NYGB capital: ratio of the amount of NYGB's proposed investment to the amount of total project costs in NYS;
- (b) Magnitude of estimated clean energy generation resulting from Projects; and
- (c) Methodology that the Proposer (or designated third party) plans to employ to track, record, and monitor energy-related impacts (e.g., actual generation), greenhouse gas emissions reductions delivered, customers served, and clean energy measures supported.

Refer to Section 6.2 (Impact Metrics – Estimates, Reporting & Evaluation) for more information about the ongoing reporting and evaluation requirements for all investments closed with NYGB.

4.6 Qualifications & Experience; Officers & Staffing

- (a) Identify the officers and management of the Proposer. If the proposed borrower is different, then include the officers and managers of the proposed borrower as well;
- (b) Provide a structure diagram showing all organizational entities from the project companies and the borrower to the ultimate parent(s) including ownership percentages. If there are options or other instruments that may be exercised, include structure diagrams for both pre-exercise and post-exercise of the options, showing the structure on a fully diluted basis (as applicable);
- (c) Confirm that the owners of the borrower are in agreement regarding all elements of the Projects including the structure and the NYGB Loan terms and are prepared to proceed toward closing in accordance with the NYGB process described in this RFP;
- (d) Detail the qualifications of the Proposer for undertaking the Projects including its experience with similar projects; and
- (e) Provide summary biographies and resumes for key personnel.

5 Proposal Evaluation

All Projects within the Portfolio must be identified, and Key Requirements as well as Threshold Requirements must be met. For at least one Project, the Proposal must provide all the information detailed in Section 4 (Proposal Contents). For the other Projects in the Portfolio, a summary description must be provided that includes the anticipated development schedule, the Revenue Contract counterparty, the expected date for the start of construction and the Threshold Requirements.

Proposals that meet Threshold Requirements (see Section 3 (Eligibility Requirements)) and include all applicable proposal contents (set out in Section 4 (Proposal Contents)) will be evaluated by NYGB against the criteria set out below.

5.1 Evaluation of Transaction Credit, Financial, Technical & Risk/Return Considerations

Proposals are evaluated with focus on the following key areas:

- (a) Financing structure and NYGB's financing support;
- (b) Creditworthiness (e.g., counterparties, underlying technologies, EPC provider(s), O&M, servicer(s), etc. as applicable) of the Project(s), and the terms of the financing expected to be provided by NYGB;

- (c) Pricing levels on a risk-adjusted basis, including projected ROI and IRR at the project level and specific return expectations for NYGB and other transaction participants;
- (d) Direct or indirect private market comparables (including pricing) as relates to counterparty credit and/or project risks;
- (e) Level of financial commitment of the Proposer and any other parties included in the proposed Portfolio (e.g., sponsor, tax equity investor(s), NY-Sun, other incentive provider(s), etc. as applicable); and
- (f) Consistency with the principle that NYGB prices its financial products based on usual commercial approaches to credit quality and risk, earning a return of/on investment to both preserve and grow its capital base.

5.2 Evaluation of Clean Energy Outcomes & Ongoing Tracking/Reporting Capability

NYGB will consider the number of Projects to be financed, expected aggregate annual energy production (MWh), expected clean energy installed capacity (MW), expected useful life of proposed technologies, expected total amount of project costs, and economic benefits (such as job creation) in NYS in its evaluation.

In addition, NYGB will evaluate the strength of the plan pursuant to which the Proposer (or designated third party) will track and record performance data on an ongoing basis, and report that information to NYGB (at a minimum within 30 days after the end of every quarter), in all cases for at least the term of the contract.

5.3 Other Considerations

Finally, NYGB will also assess the following items:

- (a) Summary and structure of the overall Proposal;
- (b) Overall fit as it relates to NYGB's portfolio, including, without limitation, contribution to aggregate financial risks and returns, technological diversity and geographic distribution; and
- (c) Attributes of the Proposal including but not limited to cohesiveness, conciseness and clarity of response.

6 General Conditions

6.1 Costs & Expenses

Once a Proposal has been submitted to NYGB and evaluated as meeting the requirements of this RFP, the proposed transaction will move into NYGB's active pipeline. The borrower/investee and/or sponsor of each transaction in the active pipeline shall pay all reasonable costs and expenses of NYGB associated with the preparation, due diligence, development, and administration of all investment-related documentation (including the fees, disbursements and other charges of outside counsel to NYGB, independent engineers, background investigators, or other consultants, as described in the engagement letter to be executed between sponsor and NYGB), regardless of whether or not the proposed investment is closed. In addition, Proposers may be required to provide a cash deposit on account of NYGB's third-party expenses in advance of substantive work on the part of NYGB and its advisors. Borrower/investee will also pay third-party fees and expenses incurred by NYGB in connection with the administration, amendment, waiver, modification or enforcement of any of the investment-related documentation.

6.2 Impact Metrics – Estimates, Reporting & Evaluation

NYGB collects and disseminates project and investment performance data (on an aggregated and anonymized basis) to facilitate improving investor confidence in addition to promoting standardization wherever possible to help drive down transaction costs. As NYGB finalizes and executes documentation for each investment, Proposers will be required to assist NYGB in its efforts to estimate the energy, environmental and economic

impact the transaction will deliver in NYS throughout the tenor of the term. This will involve the provision of data collection that supports estimated energy savings or installed capacity assumptions and agreed upon provisions to evaluate the impact the transaction has had on the clean energy finance markets. Some examples of evaluation methodologies may include: technologies deployed, technology performance, site visits, scale of projects, financial performance, access to capital, costs of capital and project costs.

After the transaction is executed, Proposers will be required to deliver impact-related data (e.g. energy, environmental and economic development-related data) as determined by NYGB and the Proposer, to be delivered no less frequently than quarterly (and within 30 days following the end of each calendar quarter), for at least the duration of the agreement. An [Illustrative Quarterly Impact Reporting Template](#) of such data as relates to energy and environmental impacts can be found on the RFP Resources page on NYGB's website. Data submitted (aggregated and anonymized) will be included in requisite public or other reports and may be used otherwise in accordance with regulatory requirements to which NYGB is subject.

NYGB will also seek periodic information relating to additional impact data, such as economic development, including job creation, use of contractors or other transaction counterparties based in New York, or impacts on New York's economy resulting through supply chain development.

6.3 Municipal Advisor Rules

NYGB is aware of the amendments to Section 15B of the Securities Exchange Act of 1934 effectuated by Section 975 of Title IX of the Dodd-Frank Act, as well as SEC Release No. 34-70462 (September 20, 2013). In this regard, please note that NYGB considers discussions with potential Proposers, and the review of Proposals, to be arm's-length negotiations. NYGB recognizes that Proposers have financial and other interests that differ from NYGB; as such, NYGB does not consider a fiduciary relationship to arise in this context. NYGB has engaged an independent registered municipal advisor ("IRMA") with the intent of relying (i.e., taking into careful consideration, along with any other information deemed relevant or appropriate) on that IRMA for advice related to any potential transactions (but not bound to follow that advice), and consequently allowing Proposers to qualify for the exemption provided by 17 CFR §240.15Ba1-1(d)(3)(vi) (the "IRMA exemption"). The name and contact information of the IRMA is listed on the NYGB website at www.greenbank.ny.gov/IRMA, and the IRMA is available to respond to any questions a Proposer may have with respect to the IRMA's independence.

6.4 Proprietary Information

Among NYGB's goals is the promotion of standardization of material contract terms and structures, and the collection of project performance data across NYGB transactions. NYGB is keenly aware that commercial markets and their incumbents value non-disclosure extremely highly to protect confidential transaction terms and other competitive information and NYGB remains highly sensitized to usual and customary confidentiality practices. Nevertheless, as a division of NYSERDA, certain State laws specifically apply to NYGB and it is recommended that careful consideration be given before confidential information is submitted to NYGB as part of any Proposal. Review should include whether it is critical for evaluating a Proposal, and whether more general, non-confidential information may be adequate for review purposes.

New York's Freedom of Information Law, Public Officers Law, Article 6, provides for public access to information NYSERDA and its divisions possess. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYGB that the Proposer wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set out in 21 NYCRR Part 501. The confidentiality of any information submitted cannot be guaranteed.

6.5 Limitation

This RFP does not commit NYGB to agree to participate in any transaction, proceed to negotiate any terms or definitive documentation, pay any costs incurred in preparing a Proposal or to procure or contract for services or

supplies. NYGB reserves the right to accept or reject any or all Proposals received, to negotiate with all qualified parties or to cancel in part or in its entirety this RFP when it is in NYGB's best interest.

6.6 Disclosure Requirement

The Proposer shall disclose, for any team member, any indictment for alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe the relevant circumstances. When a Proposer is an association, partnership, corporation or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similar governing body. If an indictment or conviction comes to the attention of NYGB or NYSERDA after NYGB has indicated its interest to, or has agreed to enter into or participate in, any transaction NYGB may terminate the agreement and the Proposer may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if any team members have ever been disbarred or suspended by any agency of the United States Government or the NYS Department of Labor.



**Technical and Market Support for CHP
Market Development and Growth”
Request for Proposal RFP 3643**

Proposals Due: **November 16, 2017** by 5:00 PM Eastern Standard Time*

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

New York State Energy Research and Development Authority (NYSERDA) Combined Heat and Power (CHP) Program (PON 2568) (<http://www.nyserdera.ny.gov/PON2568>) supports the installation of clean and efficient CHP systems of up to 3 MW. To help increase the number of CHP installations in New York State and in particular, New York City, this RFP invites proposals for a Contractor to provide outreach and technical assistance to potential end-use customers to encourage the adoption of CHP, and to assist them in acquiring CHP systems and services where appropriate.

In addition to a primary focus on CHP, NYSEDA also seeks a Contractor possessing a broad range of experience and skills involving multiple electrical and thermal energy generation and storage technologies. NYSEDA is exploring hybrid/integrated distributed generation and storage solutions and seeks outreach and technical services that can address complex technology configurations to help discover and drive high-value, replicable solutions. NYSEDA expects to bring the Contractor’s expertise to bear on these topics as needed to support effective collaboration across multiple NYSEDA programs.

Proposals to this RFP will not be accepted from CHP vendors currently enrolled under RFI/PON 2568. A contractor selected under this RFP will not be eligible to enroll in RFI/PON 2568 while providing services under this RFP. NYSEDA anticipates selecting one proposer.

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

If you have technical questions concerning this solicitation, contact:
Davetta Thacher at (518) 862-1090, ext. 3603 or davetta.thacher@nyserda.ny.gov
If you have contractual questions concerning this solicitation, contact:
Venice W. Forbes at (518) 862-1090, ext. 3507 or venice.forbes@nyserda.ny.gov

No communication intended to influence this procurement is permitted except by contacting Davetta Thacher (Designated Contact) at (518) 862-1090, ext. 3603 or davetta.thacher@nyserda.ny.gov. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by NYSERDA 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/>.

Note: Proposals should not be excessively long. 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.

I. Introduction

NYSERDA seeks a Technical Assistance/Outreach Contractor to promote market adoption of CHP systems of 3 MW or less in New York State, with special emphasis on New York City and Westchester County. The Contractor will provide a suite of services intended to help attract owners and operators of buildings to consider the installation of CHP, and help such owners and operators navigate the process of acquiring CHP systems and services. The expected level of effort/workload on average is two to three full-time-equivalent personnel (plus supervisor's time), with additional personnel periodically available to manage surges in workload throughout a 24-month term with three optional extensions for a maximum term of five years.

II. Program Requirements

Services Requested

The Contractor will work under the direction of, and in coordination with NYSERDA's Project Manager to support CHP market development and growth through various outreach and technology assistance efforts, including, but not limited to the following:

Outreach – Building upon established market and technical expertise with CHP and other energy generation and/or storage technologies, the Contractor will promote market adoption of CHP by:

- Identifying CHP system target markets and potential customers;
- Developing and implementing strategies to interact with potential CHP customers and target markets;

- Driving attendance of potential end-use customers to NYSERDA CHP informational and educational events, vendor expos, and other events by sending emails, making phone calls and engaging in other promotional activities;
- Actively participating as a resource at NYSERDA CHP informational and educational events, vendor expos, and other events by engaging potential CHP end-use customers and other attendees;
- Working with other NYSERDA Technical Assistance and Outreach Contractors, New York State electric and gas utilities, the US Department of Energy, the US Environmental Protection Agency, and other allied organizations to leverage their activities as an opportunity to discuss CHP with potential customers, engineering services companies, financing entities, and others; and
- Representing the NYSERDA CHP Program at conferences, expos and other venues as a speaker/presenter, and/or at a NYSERDA table/booth.

Event Planning and Execution – The Contractor shall provide logistic services and drive attendance to CHP/On-Site Power events and expos aimed at promoting distributed generation and energy storage with building owners, facility staff, property managers and others representing the end-use customer and other market participants. In doing so, they shall:

- Identify and contract with appropriate venues and with service providers (catering, audio/visual equipment rental, furniture and linen rental, etc.);
- Coordinate all activities necessary to register event attendees and/or exhibitors, including collection of registration and/or exhibitor fees on behalf of NYSERDA;
- Prepare and present information for the audience if so directed; and
- Serve as the event on-site manager.

Technical Assistance for New and Existing Customers – Building upon established market and technical expertise with CHP and other energy generation and/or storage technologies, the Contractor will provide technical resources to existing CHP customers and potential CHP customers by:

- Answering technical and programmatic questions from potential customers and other stakeholders;
- Performing facility pre-screening to assess the technical and economic potential of CHP at customer buildings, either alone or with other energy generation and/or storage technologies;
- Developing and delivering assessments of system operational performance for owners of either single or multiple existing CHP systems, and making recommendations for performance improvement;
- Assisting customers to navigate the process of acquiring CHP systems and services;
- Acting as a technical resource for facility owners that are currently moving forward with the NYSERDA CHP Program; and
- Providing technical assistance to small site owners where consulting engineers/owners representatives are not likely to be used. This can include helping the site owner understand feasibility study results and vendor proposals, however, at no time shall a specific recommendation as to the size of CHP system, or vendor selection be made. (A size range and a list of vendors supplying equipment in that range is appropriate).

Assistance for Vendors – Building upon established market and technical expertise with CHP and other energy generation and/or storage technologies, the Contractor will serve as a technical and marketing resource to the approved RFI/PON 2568 CHP vendors and other vendors as directed by NYSERDA by:

- Helping to connect the CHP vendors with pre-screened contacts - sites that are CHP appropriate and that have stated a genuine interest in acquiring a CHP system. Such contacts shall be shared equally with all CHP vendors;
- Assisting the CHP vendors to improve their methods and techniques used to perform technical and financial analysis of proposed CHP systems;

- Keeping the CHP vendors updated on relevant changes to building codes, air emission requirements, interconnection requirements, tariffs, or other rules and regulations that impact CHP system installation, operation, or economics; and
- Coordinating communications between CHP vendors and vendors of other distributed generation, energy storage and building controls systems.

Programmatic Assistance to NYSERDA - Building upon established market and technical expertise with CHP and other energy generation and/or storage technologies, the Contractor will serve as a technical, programmatic, and marketing resource to NYSERDA staff by:

- Developing content to support the production of educational and promotional materials such as brochures, *Best Practice* guides, pamphlets, PowerPoint slide decks, etc.;
- Analyzing NYSERDA's non-confidential collection of CHP system performance and economic data, and other publicly available CHP system performance and economic data to develop insights and knowledge that can be shared with the CHP community;
- Providing technical guidance related to the identification and development of tools that are designed to increase the penetration of CHP systems into the New York State market;
- Developing informational content for inclusion on NYSERDA's Distributed Generation website dg.nyserda.ny.gov; and
- At NYSERDA's discretion, serving as a project manager for NYSERDA CHP contracts. This may require credentialing for access to NYSERDA software systems, and if so, pertinent terms will be added to the contract (either initially or through a modification).

See Attachment A – Technical Assistance/Outreach Statement of Work.

Proposer Qualifications

- Proposer must have significant presence of applicable staff in the metro-NYC area, and must be capable of providing extensive services throughout New York City and Westchester County while minimizing the cost burden of travel expenses to the effort;
- Proposer must have demonstrated experience with technical outreach and customer education;
- Proposer must have demonstrated expertise in CHP, including the various CHP technologies and their ancillary equipment, proper system sizing, and the performance of technical/financial assessments (familiarity with other technology that could be bundled with CHP into a hybrid system, such as solar PV or energy storage, is a plus);
- Proposer must have extensive experience with the diverse New York State and New York City CHP markets;
- Proposer must have familiarity with key New York City end-use sectors and building associations;
- Proposer must have familiarity with New York City rules and regulations affecting CHP (established working relationships with utilities (electric, gas, and steam), NYC-DOB, FDNY, NYC-DEP, and other relevant NYC and State agencies is a plus);
- Proposer must have familiarity with various procurement models (turnkey, shared savings, PPA, etc.) and contract language; and
- Proposer must have familiarity with various CHP technical and market potential studies for New York.

Proposer Eligibility

- Proposers may be single entities or teams;
- Proposers must be able to demonstrate their ability to be independent and unbiased regarding the topics on which they will be tasked to coach customers (e.g., agnostic of prime mover technology and the approved CHP Vendors); and
- Proposer must not have a real or perceived conflict of interest that might unduly bias them towards or against any of the CHP Vendors.

III. Proposal Requirements

The proposal must be submitted in the following format.

Summary (3-page limit)

- Identify the prime (lead) proposer and all entities/team members collaborating in the proposal;
- Explain how you will approach the work described herein and in Attachment A – Technical Assistance/Outreach Statement of Work; and
- Identify and explain any potential real or perceived conflicts of interest, or state that there are none to the best of your knowledge.

Qualifications and Experience (7-page limit)

Experience within New York State and New York City in particular is crucial to gaining access to customers and providing effective outreach. Proposers must:

- Identify all team members (name, business address, telephone number), including the individual who will assume the ultimate responsibility for success and their qualifications to undertake the proposed work. Attach resumes of key personnel in an appendix (will not count towards page limitations);
- Demonstrate how the proposer meets the Proposer Qualifications and Proposer Eligibility requirements listed above;
- Explain each team member's existing relationships with key stakeholders and key service providers such as technical consultants, design consultants, energy engineers, equipment vendors, etc.; and
- Explain each team member's existing relationships with NYS utilities and agencies (state and local).

Staffing Plan (2-page limit)

Prepare a staffing plan which indicates the roles, responsibilities, and anticipated hours allocated to all personnel. The expected level of effort/workload on average is two to three full-time-equivalent personnel (plus supervisor's time), with additional manpower periodically available to manage surges in workload.

Workload Flexibility Plan (2-page limit)

Describe your proposed priority sequence and surge capabilities for responding to periodic spikes in workload intensity, and approaches for ensuring productive use of time and productive deliverables during periodic lulls in workload intensity.

Cost

Include a completed Personnel and Rates Form (Attachment B - Personnel and Rates Form) for the Proposer and each proposed team member organization or identified subcontractor. Personnel Title Classifications should be consistent with the Staffing Plan.

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; and
- 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 Intent to Participate

If a subcontractor is listed as part of your team, a Letter of Intent to Participate from the subcontractor must be included as part of the proposal.

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 and/or others to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

- Does the proposer, including team members, have the demonstrated ability to perform the work described in the Statement of Work? Does the proposer have market and technical expertise with CHP systems? (30 points)
- Does the proposer have knowledge of CHP technical and market potential market studies, procurement models, and contract language? Does the proposer have established working relationships with key personnel from the various CHP end-use sectors and building associations in NYC? Does the proposer have established working relationships with relevant NYC and State agencies, and utilities in NYC? (20 points)
- Has the proposer demonstrated the ability to be independent and unbiased regarding the topics on which they will be tasked to coach customers? Are any apparent conflicts of interest appropriately addressed? (20 points)
- Does the proposer have expertise with other energy generation and/or storage technologies that could be bundled with CHP in hybrid systems? (10 points)
- How likely are the proposed strategies and level of effort to support market adoption of CHP? (10 points)
- Is the proposed cost reasonable with respect to the qualifications, proposed effort and other proposers? (10 points)

NYSERDA, through its Scoring Committee, will review and rank each proposal based on this evaluation criteria. The Scoring Committee will consist of NYSERDA staff and selected outside reviewers.

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

- The degree to which the proposal, including hourly rates, optimizes the use of available funding to achieve New York State's Clean Energy Fund's programmatic objectives, including improving resilience and reducing greenhouse gas emissions.
- The degree to which pricing and hourly rates are in line with the rest of the market.

Contracting

- NYSERDA anticipates awarding one (1) contract under this solicitation;
- NYSERDA may select the winning proposer, or proposing team, through review of written proposals, and, followed by, at NYSERDA's sole discretion, in-person interviews of a down-selected subset of proposers. NYSERDA may or may not invite the CHP Vendors enrolled in RFI/PON 2568 to be present during the in-person interviews; and
- This Program shall not be misdirected to serve as a marketing vehicle for the Proposer or other associated firms. Current NYSERDA contractors are eligible; however, the proposer selected through this RFP will not be permitted to use customer leads that are developed while performing services under this contract to participate in other NYSERDA programs (i.e. FlexTech), or to provide "CHP project development" services and/or "energy-related consulting" services and/or

"ESCO" services. Proposers should include a listing of all current contracts with NYSERDA and how conflicts between contracts, if any, will be avoided. Proposers should also provide a list of all pre-existing business relationships that continue to be on-going with specific building owners within Con Edison's territory.

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 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 <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. A contract may be awarded based on initial proposal 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 proposals. 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 10 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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 - Technical Assistance/Outreach Statement of Work
Attachment B - Personnel and Rates Form
Attachment C – Sample Agreement



RetrofitNY High-Performance Retrofit Solutions Design

Request for Proposals (RFP) 3750
Up to \$450,000 Available

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

Solution Provider Team Applications and Building Applications will be reviewed starting March 2, 2018 and first Joint Project Applications accepted immediately following notification, with contracts awarded on a first-come, first-served basis
Solution Provider Team Applications and Building Applications accepted through July 31, 2018 by 5:00 PM Eastern Time
Joint Project Applications accepted through October 31, 2018 by 5:00 PM Eastern Time or until six contracts are awarded, whichever comes first.

Program Summary: The goal of RetrofitNY is to spearhead the creation of standardized, scalable solutions and processes that will dramatically improve the energy performance of multifamily residential buildings while improving their aesthetics and comfort. An initiative of NYSErDA's Clean Energy Fund, RetrofitNY is working aggressively to bring a substantial portion of New York's affordable housing units to or near net-zero energy performance over the next decade, and in so doing develop significant new business opportunities in the State. Our efforts support Governor Andrew M. Cuomo's ambitious climate goals while improving the quality of life for affordable housing residents.

Through this Request for Proposals (RFP), NYSErDA will qualify: 1) Solution Provider Teams to design high performance retrofit solutions, and 2) affordable housing multifamily Buildings that are appropriate candidates for being retrofitted with these solutions. Applications for Teams and Buildings will be submitted separately. NYSErDA will appoint separate Scoring Committees that will periodically review Building and Team Applications, and qualify Buildings and Teams. Qualified Teams and Owners of qualified Buildings will then have an opportunity to pair up and submit a Joint Project Application to NYSErDA. Contracts will be awarded to qualified Team/Building pairs on a first come, first served basis until six contracts are awarded (subject to the limitations set forth in Section II.B.1 below), or until the period for submitting Joint Project Applications expires on October 31, 2018, whichever comes first. Each contract awarded under this RFP will provide funding to the applicable Prime Contractor (as defined in Section II.A) in the amount of \$75,000.

To be qualified, Buildings must be Affordable Housing Multifamily Buildings no taller than 7-stories for which a substantial rehabilitation or comparable work is already being planned within the next 12-24 months. Solution Provider Teams must demonstrate their ability to design, build, and maintain retrofit solutions that: approach or achieve net-zero energy performance; exclude the use of fossil fuels onsite; can be standardized, are scalable, and expected to be cost-effective when implemented at scale; improve resident health, comfort and quality of life; can be installed with minimal resident disturbance or displacement; could be covered by a long-term performance guarantee from the Solution Provider Team; and contribute to building resiliency.

NYSErDA expects to issue several RFPs through the RetrofitNY initiative over the next several years, demonstrating NYSErDA's long-term commitment to high performance retrofit solutions that become increasingly more efficient while reducing implementation costs. While there are obvious benefits to being qualified through this initial design RFP to act as a first mover and be recognized as a leader in the industry, there are also opportunities ahead as each subsequent design RFP will refine and improve upon the prototypes developed by the earlier RFPs, as well as expanding the RetrofitNY initiative to additional

building typologies. In this initial RFP, the six Buildings for which a retrofit design has been contracted will receive an Integrated Physical Needs Assessment (IPNA) provided by NYSERDA if one has not been performed within the last two years. NYSERDA will also provide each of the six Solution Provider Teams contracted to design retrofits for those Buildings a coach proficient in Integrated Project Delivery (IPD) to provide training, guidance and support to Team Members, and encourage collaboration between Teams, Building Owners, Owner's financing partners, regulatory agencies and NYSERDA.

In addition, NYSERDA plans to issue a solicitation to Building Owners to provide project funding for the construction and implementation of the prototype retrofits. Only Buildings for which retrofit solutions are designed under this design RFP may be eligible for additional NYSERDA funding as part of such separate solicitation. The separate solicitation will commit limited funds to the procurement and implementation of the retrofit portion of the scope of work once: 1) the Owner has contracted with the Team to perform the work; and 2) the project mobilizes all other sources of funding in place. NYSERDA has a finite amount of project funding available for the construction of retrofit solutions designed through this initial RFP, so any available funding would in no event exceed the cost gap between financing otherwise available to the Owner and the total cost of the rehabilitation, including the high performance retrofit solution. The gap funding may not be sufficient to cover the gap for all units of larger properties. Buildings that qualify for this funding would not be eligible for additional funding from the NYSERDA Multifamily Performance Program, but may still be eligible for funding from other NYSERDA programs. Any building on which a retrofit prototype is completed would also receive performance verification and monitoring from NYSERDA with Owner providing ongoing access to the Building and critical performance data.

New York City Housing Authority Solicitation

Solution Provider Teams that are qualified through this RFP will also be eligible to respond to a separate RFP expected to be issued Spring 2018 by the New York City Housing Authority (NYCHA) to design and build high performance retrofit solutions for buildings in their portfolio. In order to be considered for NYCHA's RFP, Teams will need to be qualified by NYSERDA through this RFP but do not need to be awarded a contract. If a Team wants to be eligible for NYCHA's RFP, its Application will be evaluated until the end of the Joint Application period on October 31, 2018 even if six contracts have already been awarded. For updates on the RetrofitNY NYCHA RFP, sign up on NYCHA's procurement platform, iSupplier, at: <https://app.smartsheet.com/b/form/47088f29a730476aaa61f8f098d387ad>.

Application Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (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 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), click the link "NYSERDA Solicitation User Guide [PDF]" located in the "Current Opportunities" Section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>) under the link to the RFP.

No communication intended to influence this procurement is permitted except by contacting Saul Brown at (518) 862-1090, ext. 3028 or by e-mail saul.brown@nyserda.ny.gov, or Jonathan Benezry at ext. 3031 or jonathan.benezry@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Assistant Contract Manager Venice Forbes at (518) 862-1090, ext. 3507 or venice.forbes@nyserda.ny.gov. Contacting anyone other than the foregoing designated contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement may result in: (1) in a proposer being deemed a non-responsible offerer, and/or (2) the proposer not being awarded a contract.

*** All proposals must be received by 5pm Eastern Standard Time on the date noted in the boxes at the start of this RFP above. Late, faxed, or emailed proposals will not be accepted.** Incomplete

proposals 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 proposals. The electronic proposal 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 NYSERDA’s web site at <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>.

Several webinars providing instructions and guidance for submitting Building applications and for submitting Solution Provider Team applications will be held as indicated in the following table.

INFO WEBINAR	DATE	REGISTRATION
Team Application	Thursday, February 15, 2018 3:30pm to 4:30pm	register here
Building Application	Friday, February 16, 2018 10:00am to 11:00am	register here

Information on the webinars will be available through the program webpage at www.nyserda.ny.gov/RetrofitNY. Potential or interested applicants should attend or view the applicable webinar before starting the application process. Requests for information sent to retrofitny@nyserda.ny.gov will also be honored until the Solution Provider Team and Building Application deadline of July 31, 2018. All responses will also be publicly posted as FAQ’s on RetrofitNY’s website at <https://www.nyserda.ny.gov/RetrofitNY>.

I. Introduction

The RetrofitNY approach is based on a successful European program, called Energiesprong (<http://energiesprong.eu/>), has brought 2,000 units of affordable housing to net-zero energy with improved comfort and aesthetics, and now has 20,000 more units in the pipeline. After launching its first projects in the Netherlands in 2013, Energiesprong is now being implemented in France, the United Kingdom, and Germany. By adapting this tested and proven model to New York, we will help the building renovation industry transform its business model through four key actions:

1. Aggregating demand among building Owners, harnessing their collective market power.
2. Mobilizing the building industry to develop innovative technical solutions to substantially improve the comfort, look and performance of affordable housing buildings while residents continue to live in their apartments.
3. Working with financial organizations to help finance projects by capturing energy and other operational savings.
4. Engaging regulatory agencies to help facilitate widespread adoption.

RetrofitNY focuses on the affordable housing sector where high-performance retrofits have the potential to significantly improve resident well-being while reducing operating costs. The relative uniformity of the affordable housing building stock will allow us to rapidly activate a large market and compress costs by replicating the technical solutions that are developed across a large number of similar buildings throughout New York state. For Building Owners, this represents a significant opportunity to preserve affordable housing, upgrade their portfolio's resiliency, improve resident satisfaction, increase net operating income and finance these improvements by leveraging the accrued savings. For Solution Provider Teams, this represents the chance to be the first movers in what we conservatively estimate to be a \$1 billion annual market that will transform the building rehabilitation industry and become the business-as-usual model. We expect that the solutions developed in the affordable housing sector will subsequently have widespread applicability throughout the entire housing industry, becoming the default renovation method for both affordable housing and market-rate multifamily properties in New York State and beyond.

The success of the Energiesprong program in Europe proves that a large-scale transformation of the housing stock to achieve high levels of energy performance is not only technically possible but also economically viable, offering new opportunities to the building industry, reducing operating costs to building Owners, opening financing opportunities to lenders and improving quality of life for residents. Prior to issuing this RFP, the RetrofitNY team has engaged a broad swath of industry first-movers, including affordable housing Owners and developers, architects and engineers, builders and manufacturers, financing agencies and private lenders for their input on developing a large scale, self-sustaining high performance retrofit market in New York. This extensive engagement has reinforced NYSERDA's conviction that a market transformation approach similar to Energiesprong is possible in New York State, and that the RetrofitNY process can stimulate demand among affordable housing providers and mobilize the building industry to produce scalable, standardized retrofit designs.

This RFP calls for the development of an initial round of retrofit solution designs that approach or achieve net-zero energy performance for affordable housing multifamily buildings up to 7-story high. These solutions will not only reduce greenhouse gas emissions but also:

- Improve living space comfort and indoor air quality, as well as the exterior aesthetics of a large portion of the state's existing affordable housing building stock.
- Provide substantial savings on utility and maintenance expenses for building Owners, which savings can be used to finance the improvements.

- Become the business-as-usual rehabilitation model throughout the housing industry within New York state and beyond.
- Provide significant new business opportunities in New York.

Owners of multifamily affordable housing buildings that are interested in augmenting their planned rehabilitation or renovation cycle with a high-performance retrofit should submit an application under this RFP that includes critical building data (refer to Attachment A).

Solution Provider Teams interested in designing a solution should submit an application under this RFP describing their ability to design, engineer, cost, build and maintain a high-performance retrofit and furnish the final design deliverables required by this RFP (refer to Attachment B).

The goals of this initial solution design round of RetrofitNY are to:

- Challenge and support the design and construction industry in the development of solutions that:
 - approach or achieve net-zero energy performance
 - significantly improve the quality of life for the residents
 - use existing or easily adapted components
 - are adaptable to buildings of similar typologies
 - minimize resident disruption during implementation
 - minimize the onsite construction period
 - could be covered by a long-term performance guarantee from the Solution Provider Team
 - contribute to building resiliency
- Engage the financing industry to support the development of long-term financing strategies for high performance retrofit solutions that monetize the operational savings generated by each solution over a long period of time.
- Reduce the cost of these solutions as much as possible to minimize any gap between the available sources of funding (i.e., the funds available from conventional sources for a business as usual building rehabilitation, plus the amount that can be added to those conventional sources by monetizing the energy and other operational cost savings that are generated by the high performance retrofit solutions) and the total cost of the rehabilitation including a high performance retrofit solution.
- Identify regulatory barriers to implement solutions as well as possible solutions to those barriers.
- Foster a collaborative design process in which all Teams, Building Owners, financing partners, regulatory agencies and code officials work together to produce the most successful solutions possible for Owners to procure and Teams to implement.

Additional RetrofitNY program information and resources are available at <https://www.nysedda.ny.gov/RetrofitNY>.

II. Program Requirements

A. Definitions

Affordable housing: At least 25% of building households must earn less than or equal to 80% of Area Median Income (AMI) **AND** building must participate in one or more of the following programs:

- Public Housing Authority
- HUD-regulated affordable housing
- DHCR-regulated affordable housing other than NYC rent control regulations
- Low Income Housing Tax Credit financing
- NYCHPD-regulated affordable housing (or other local housing agency)
- SONYMA Mortgage Insurance financing
- HFA's Programs
- NYC HDC's Programs
- NYS OTDA Temporary and Supportive Housing Programs
- Mitchell Lama Program

Cost-effectiveness: retrofit solutions will be considered cost-effective if, when implemented on a large scale:

- They can be furnished and installed at no or minimal increased cost to the Building Owner's planned rehabilitation budget, AND/OR
- The post-retrofit operating and maintenance savings are sufficient to finance any incremental costs above the planned business as usual rehabilitation budget which are attributable to the high performance retrofit solution

Energy Use Intensity (EUI): The total amount of site energy consumed by the building on an annual basis divided by the gross floor area in kBtu/ft²/yr.

Integrated Physical Needs Assessment (IPNA): The Integrated Physical Needs Assessment (IPNA) is a property evaluation tool jointly developed and released by the NYC Housing Development Corporation (HDC), New York City Department of Housing Preservation and Development (HPD), and New York State Homes and Community Renewal (HCR). The tool integrates an evaluation of energy, water and health needs into a full roof-to-cellar assessment of a property's physical conditions to ensure that the needs of the property are addressed in a holistic manner.

Multifamily building: residential building with five or more residential units and, for the purposes of the RFP, with no more than seven stories.

Net-Zero Energy (NZE) Performance: The total amount of site energy consumed by the Building is less than or equal to the amount of renewable energy created by solar photovoltaics or other distributed energy resources located on the Building or elsewhere on the site, calculated on an annual basis. See Section II.C.4 below for performance expectations and which building typologies are expected to achieve or approach NZE.

Owner: private person or entity, including a corporation, partnership, limited liability company, an agency of the federal government, or a public housing agency, having the legal right to lease or sublease dwelling units, but excluding co-ops or condominium associations unless such co-op or condominium association is designated Low-to-Moderate Income, and has delegated sole decision-making authority relating to all Building renovations and capital improvement to a single affordable housing agency or organization through a duly executed power of attorney (or other documentation) reasonably acceptable to NYSERDA.

Similar Buildings: similar in terms of construction type, vintage, number of stories, mechanical systems and general condition of the envelope.

Simple Architecture: For the purposes of this RFP this is defined as Non-Historic Preservation properties with limited surface details or obstructions, little ornamentation and simple configuration (e.g. few setbacks), and simple planar or gable roof.

Solution Provider Team: a multidisciplinary, integrated design-build team that

- is technically qualified and has practical experience in high-performance design and construction, including onsite solar or other distributed generation, AND
- can design, engineer, cost, produce, install and maintain a retrofit solution that approaches or achieves net-zero energy performance.

Solution Provider Teams are sometimes also referred to herein simply as “Teams”

Solution Provider Team Member, or Team Member: One of the individuals, companies or organizations participating in a Solution Provider Team. One Team Member must be designated as Prime Contractor.

Solution Provider Prime Contractor: The company that will serve as lead applicant for a Solution Provider Team. The Prime Contractor will submit the Solution Provider Team Application and, if eligible, a joint Project Application with a Building Owner. It will be the Prime Contractor with whom NYSERDA contracts for the scope of work defined in this RFP and it will be to the Prime Contractor that all payments will be made under the terms of this RFP. The representative(s) of the Prime Contractor will also act as NYSERDA’s primary contact throughout the contract period. Prime Contractors must be able to enter into a contract with and receive funding from NYSERDA.

B. Other Key Acronyms

HCR, DHCR or NYSHCR: New York State Division of Homes and Community Renewal

HDC or NYCHDC: New York City Housing Development Corporation

HFA or NYSHFA: New York State Housing Finance Agency

HPD or NYCHPD: New York City Housing Preservation and Development

HUD: U.S. Department of Housing and Urban Development

RAD: Rental Assistance Demonstration

C. Eligibility Requirements

1. Building Eligibility

Only Multifamily Affordable Housing buildings are eligible to participate in this RFP. The Building must be occupied as the retrofit solution must be installed with residents in place. The Building applicant must be the Owner of the Building, or be in the process of acquiring the Building; provided, however, that if the applicant is in the process of acquiring the Building, the applicant must submit documentation demonstrating: (a) the reasonable likelihood of the acquisition proceeding (e.g., an executed purchase agreement); and (b) the commitment by applicant, in form and content acceptable to the applicable regulatory agency, to preserve the Building as Affordable Housing (as defined in Section II. A above) following the closing of such acquisition.

Subject to the foregoing requirements, examples of acceptable acquisition programs include:

1. RAD I conversions
2. RAD II conversions
3. Non-RAD Mitchell Lama conversions
4. HUD 202
5. Rural Development conversions
6. HDC/HPD Preservation Finance program

7. HCR Year 15 Low Income Housing Tax Credit re-syndication
8. HUD Section 8 projects

NYSERDA will consider other acquisition programs on a case by case basis.

To be eligible, the Building Owner Applicant must meet the following requirements:

- Be the legal Owner of the Building (as defined in Section II. A. Definitions), OR provide documentation demonstrating to a reasonable certainty that Applicant will acquire the Building through one of the programs described above, or otherwise as expressly approved by NYSERDA.
- Be planning to refinance or re-syndicate the Building within 12-24 months of issuance this RFP.
- Be planning to perform capital improvements to the Building that include substantial upgrades to the envelope (e.g. windows, façade, and/or roof) and mechanical systems within 12-24 months of issuance of this RFP.
- If a preliminary scope of work and/or a financing strategy for a planned rehabilitation are already in place, commit to the flexibility required to: (a) incorporate the newly designed retrofit solution into the conventional rehabilitation scope of work and financing strategy, and (b) to allow the time necessary for a Solution Provider Team to design the high performance retrofit solution through this RFP process.
- Submit a Memorandum of Understanding demonstrating Owner's intention to proceed with implementation of the high performance retrofit solution designed through this RetrofitNY prototype design process included with Attachment A.

To be eligible, a Building must meet the following requirements:

- Be located in New York State
- Be a multifamily, residential building with 5 units or more
- Be currently occupied (subject to typical vacancy levels) with the expectation to remain occupied through the design phase as well as the prospective construction phase during which the retrofit solution designed might be installed on the Building
- Have seven stories or fewer
- Meet the definition of Affordable Housing (as defined in Section II.A. Definitions)
- Pay the System Benefits Charge (SBC) through their electric utility bill¹
- Not be currently covered by an Energy Performance Contract (EPC) or other contract that would materially interfere with the implementation of a retrofit of the scope envisioned by this RFP
- Present a Simple Architecture.
- If the Building includes commercial tenant space, the master lease must authorize Owner to make significant changes to the façade and mechanical systems of any commercial tenant spaces, without the tenant's approval

To achieve diversity in building typology and geographic distribution, of the six contracts that will be awarded under this RFP, no more than four contracts will be awarded to:

- A single typology (low-rise building of 1-2 stories, OR mid-rise buildings of 3-7 stories)
- A single geographic location (in New York City, OR outside New York City)

Once contracts have been awarded for the design of solutions on four Buildings in each of these categories, Buildings that correspond to the same category will become ineligible. For example, if four low-rise Buildings have been awarded contracts, the remaining two contracts must be awarded to mid-rise Buildings. Similarly, if four Buildings outside New York City have been awarded contracts, the remaining two contracts must be awarded to Buildings inside New York City. Once the maximum number of contracts have been

¹ Electric utilities that pay into the SBC are Con Edison, Central Hudson, National Grid, NYSEG, O&R, and RG&E.

awarded for each typology or each geographic location, this information will be posted on the Current Program Funding Opportunities page of NYSERDA's website.

2. Solution Provider Team Eligibility

To be eligible, Solution Provider Teams must include Team Members that collectively meet the following requirements:

- Demonstrated experience with multifamily buildings
- Demonstrated experience with successful high-performance projects
- Demonstrated ability to model post-retrofit life cycle cost analysis
- Demonstrated ability to model energy consumption savings and energy cost savings
- Demonstrated capacity to design, engineer, cost, produce, install and maintain the high performance retrofit solution, including installation of onsite distributed generation

3. Ineligible Project Types

Project types that are not eligible for funding through this solicitation include:

- Commercial or industrial buildings
- Market-rate or mixed-income buildings that do not meet the definition of Affordable Housing set forth in this RFP
- New construction buildings
- Buildings with fewer than five units
- Buildings with more than seven stories
- Projects outside of New York State
- Buildings that do not pay into the SBC
- Vacant buildings since the retrofits must be installed with residents in place

4. Public Housing Authority or other Government-Owned Buildings

NYSERDA wants to ensure that each Applicant has considered all applicable procurement laws that may apply through the design of the retrofit prototype and the subsequent construction and implementation of the prototype retrofits if they are to be constructed on a Building owned by a public housing authority or a government entity.

For any project that will include a retrofit on a government owned Building or will include a contract between a government entity and a private party at any point in the process that will require the expenditure of government funds whether for design, construction or implementation, or for services to be provided after completion of the project (e.g., a power purchase agreement), the Joint Project Application must include a Statement of Compliance included with Attachment C affirming that the relationship between the government entity and the contracting party or parties can and will be created lawfully under relevant State and government procurement and contracting laws and guidelines.

D. Contracting

1. Contract Award

For each Joint Project Application that meets the conditions set forth in Section III.A below and is selected for an award, NYSERDA will notify the applicable Prime Contractor in writing and will deliver a draft contract in the form set forth in Attachment D to this RFP ("Standard Contract"). The Prime Contractor is encouraged to return a signed copy of the Standard Contract to NYSERDA as promptly as possible after receipt, but in any event, must return a signed copy of the Standard Contract to NYSERDA within 30 calendar days after receipt or the Team may forfeit its position to the next candidate in line. Upon receipt of the fully executed

contract from NYSERDA, the Prime Contractor will invoice NYSERDA for the first Milestone Payment. It is the sole responsibility of each Prime Contractor to pay any and all fees to other Team Members or participants as agreed among the Team Members.

For a Building in process of acquisition if, despite the prospective Owner's best efforts, the current owner is unwilling to provide access to the Building for the Team and NYSERDA, then NYSERDA will be forced to terminate (or not move forward with) the contract.

2. Payment Terms

A \$75,000 contract award will be made to the Prime Contractor by NYSERDA to be paid out as follows:

- 50% released upon receipt of contract duly executed by the Prime Contractor and NYSERDA.
- 25% released at approval of Milestone 2 deliverables (see Section II.C.4 below).
- 25% released upon approval of Milestone 3 deliverables (see Section II.C.4 below) and Final Report (as described in the Standard Agreement).

3. Contract Period

The contract period for qualified Projects will be for one year. Within that period, however, the Prime Contractor will be expected to abide by the six-month design phase schedule described below for completion of all deliverables.

4. Retrofit Solution Design Phase

The goal of the design phase is to develop a replicable high performance retrofit solution that will ultimately be produced and installed on the building selected. Each contract will provide for a six (6) month design period during which all Team Members will engage in a highly collaborative process that will also involve the Building Owner, the Owner's financing partners, the applicable affordable housing regulatory agencies, code officials, and other key project stakeholders, all of whom will be encouraged to meet at regular intervals to participate in the development of the retrofit solution. By leading the engagement of all critical participants throughout the design phase, NYSERDA will seek to ensure that the designed solutions are successfully produced and installed.

Teams are expected to design solutions that:

- approach or achieve net-zero energy performance
- exclude the use of fossil fuels onsite
- can be standardized, are scalable and will significantly compress costs at scale
- improve resident comfort and quality of life
- improve the aesthetic of the building
- can be installed with minimal resident disturbance or displacement
- minimize the onsite construction period
- could include a long-term energy performance guarantee offered by the installation and/or maintenance/operation contractors
- preserve affordable housing and affordable rents for Low-to-Moderate Income residents

NYSERDA seeks to give as much freedom as possible to the teams. However, in order to guide the work of the Teams and guarantee that the solutions will achieve the expected outcomes above, NYSERDA will provide design criteria that are currently expected to include, but may not be limited to the following specifications.

Buildings up to three stories are expected to achieve net-zero energy levels. Buildings four to five stories should closely approach or achieve net-zero energy levels. Buildings six or seven stories should work to minimize the gap (if any) between their respective energy demands and onsite energy production capabilities. Buildings that are unable to meet net zero with roof-mounted (or other building applied) solar systems should analyze the building site for additional distributed generation opportunities. Any Building that is unable to meet its projected annual energy demand with on-building or on-site distributed generation resources must provide a strategy and costing model for procuring additional renewable energy from community solar or other off-site resources, to the extent necessary to meet the Building's post-retrofit annual energy needs. All Buildings are expected to achieve **a site EUI of 20 kBtu/ft²/year or less**. However, Buildings four stories and higher may need to achieve a lower site EUI in order to reach net-zero energy performance.

Envelope Efficiency

To achieve the appropriate site EUI, not exceeding 11 kBtu/ft²/yr for space heating and cooling is recommended.

Energy Services to be Delivered by the Solutions

The following levels of comfort and service are required:

1. Minimum heating season space temperature: 68° F (daytime: 6am-10pm), 62° F (nighttime: 10pm-6am)
2. Maximum cooling season space temperature: 77° F
3. Domestic hot water service: 21 gallons/person/day delivered at 120°F
4. Apartment ventilation: the greater of:
 - 20 cfm per bathroom + 25 cfm per kitchen
 - 18 cfm per person
5. Solutions must account for a reasonable level of apartment-level electrical consumption (lighting, appliances and plug loads) expected to be at least 5 kBtu/ft²/yr

To support the work of the Teams, NYSERDA will actively facilitate a transfer of knowledge from industry participants currently delivering Energiesprong-generated solutions in the Netherlands.

NYSERDA will also assign each qualified Solution Provider Team a coach who will provide strategic guidance, and overall support. Coaches will help facilitate an innovative, collaborative, and integrative design process to aid teams in meeting RetrofitNY's requirements and performance targets. Coaches will meet with their Team regularly to oversee their work, in addition to liaising with NYSERDA and other stakeholders engaged in the design process. Team Members will remain the ultimate decision makers and innovators, while coaches will provide assistance as needed.

The set of deliverables due at the midpoint and end of this design phase are intended to facilitate procurement of the retrofit solution by the Building Owner and acceptance by the Owner's financing partner so that the financial closing and construction of the solution can proceed as rapidly as possible.

To accelerate innovation, Teams will be encouraged to share ideas and collaborate and, upon successful completion of the design phase, NYSERDA will publish each completed solution design package as an open source document with full acknowledgement of all participants and contributors. These will be widely publicized and distributed, including to public housing authorities, affordable housing owners and developers, affordable housing regulatory agencies, financing entities, and regulators, encouraging adoption of these high-performance retrofit designs. NYSERDA shall therefore have the right to use, duplicate, or disclose all or any portion of the final deliverables in any manner and for any purpose and to

permit others to do so, while the Prime Contractor shall have the right to use such information for its private purposes, subject to the provisions of the Standard Agreement (Attachment D).

At the conclusion of the design phase, the Building Owner will be encouraged to integrate the solution designed with any other rehabilitation work required for the Building but not covered by the retrofit scope, and procure the retrofit solution by contracting with the Team. If it is determined that the cost for rehabilitation including the high energy performance improvements exceeds the Owner's rehabilitation budget by an amount that cannot be recaptured by projected operational savings produced by the retrofit solution, the Owner may be eligible for additional NYSERDA funding to cover all or part of this gap through a subsequent separate solicitation.

The design phase will be structured as follows:

Milestone 1: Startup

Startup occurs upon receipt of a fully executed contract from NYSERDA. At Startup NYSERDA will:

- Assign a coach to work with the Team.
- Assign a technical assistance provider to perform an Integrated Physical Needs Assessment (IPNA) for the applicable Building(s). The final IPNA shall be provided to the Team and Building Owner at no cost. If an IPNA for any qualified Building has been completed within two years prior to receipt of the joint Project Application, a new IPNA will not be performed.
- Process the 50% payment to the Prime Contractor.
- Schedule a kick-off meeting with all Team Members, the Building Owner, the Owner's financing partners, the assigned coach and NYSERDA to be held promptly after Startup begins, at which the Team will develop and commit to their design schedule and calendar of review meetings.

Milestone 2: Conceptual Design

Conceptual design deliverables will be due at the midpoint of the design phase (end of month 3). They are intended to demonstrate the strategy to produce and install the proposed retrofit solution. Deliverables at this milestone should show progress to developing a solution that is implementable in the Building. Midpoint deliverables shall include (all electronic submittals should be viewable in file formats readily available):

1. Preliminary Conceptual Design Documents including:
 - **Conceptual drawings:** design scheme that defines the general scope and design of the solution, indicating scale and relationships among building components and including rough sketches for Owner approval.
 - **Standard details:** existing (or slightly altered to reflect application) drawings of all components or materials specified (including technical diagrams, catalogue cuts, or photos including surface views or finish samples, section or exploded views) and typical attachment or installation details demonstrating how new components will be applied to or integrated with existing building or its systems.
 - **Critical custom details:** sketched details showing custom or atypical design features or installation aspects critical to the performance of design, interaction of its components with each other and with existing conditions, their overall appearance and how these may impact residents.
 - **Specifications:** product specifications for all products and components included in the retrofit design, along with detailed performance specifications of individual components and how these will integrate to achieve final performance criteria, particularly with respect to heating, ventilation and air conditioning (HVAC) system and onsite energy production system(s). Include manufacturer's cut sheets where available.
 - **Renderings:** where critical to understanding of the final appearance, performance or resident interaction with solution, perspectival visual illustrations of solution in place, which

- may include AutoCAD models or perspective drawing, photographic superimpositions, 3D models or mock-ups.
 - **Room details:** to-scale visual representation of how the specified components will affect resident life in dwelling unit interiors.
- 2. Projected budget: hard and soft costs to furnish and install retrofit design on existing structure.
- 3. Preliminary construction schedule.
- 4. Preliminary Life Cycle Cost Analysis for the Building over the expected term of financing (15 to 30-year period), reflecting the cost of operating and maintaining the retrofit solution over the expected term of financing and all projected operating savings including but not limited to reduced energy, water, maintenance and labor costs. In the case of a campus with multiple similar buildings, projected savings for entire campus should also be provided.
- 5. Preliminary Building Performance Summary with backup calculation estimates: estimated performance calculations to demonstrate projected energy performance of the design over the expected term of financing (15 to 30-year period), allowing for normal deterioration of components and reasonable expectations of improved performance of comparable component replacements.
- 6. Preliminary On-site Distributed Energy Resources Summary: estimated onsite capacity for installation of solar or other distributed energy resources, including preliminary performance calculations to quantify potential annual on-site energy production.
- 7. Regulatory Barriers: overview of local code issues examined and potential variances that the solution might require.
- 8. Resiliency: summary of how the proposed solution will improve the resiliency of the Building.

Conceptual design deliverables will be due within 3 months after the contract execution date in a format determined by NYSERDA and acceptable to Building Owner and Owner's financing partners.

Milestone 3: Schematic Design

Schematic Design deliverables will be due at the conclusion of the six-month design phase. They are intended to produce a set of documents that can be brought to the applicable regulatory agency and financing partners for the purposes of beginning the underwriting process for the proposed retrofit solutions. Schematic Design deliverables shall include (all electronic submittals should be viewable in file formats readily available):

1. Schematic Design Documents including:
 - **Schematic drawings:** design scheme that defines the general scope and design of the project, indicating scale and relationships among building components and including rough sketches for Owner approval.
 - **Standard details:** existing (or slightly altered to reflect application) drawings of all components or materials specified (including technical diagrams, catalogue cuts, or photos including surface views or finish samples, section or exploded views) and typical attachment or installation details demonstrating how new components will be applied to or integrated with the existing Building or its systems.
 - **Critical custom details:** sketched details showing custom or atypical design features or installation aspects critical to the performance of the design, interaction of its components with each other and with existing conditions, their overall appearance and how these may impact residents.
 - **Specifications:** detailed product specifications for all products and components included in the retrofit design, along with detailed performance specifications of individual components and how these will integrate to achieve final performance criteria, particularly with respect to HVAC system and onsite energy production system(s). Include manufacturer's cut sheets where available.
 - **Renderings:** where critical to understanding of the final appearance, performance or resident interaction with solution, perspectival visual illustrations of solution in place, which may include Autocad models or perspective drawing, photographic superimpositions, 3D models or mock-ups.

- **Room details:** to-scale visual representation of how the specified components will affect resident life in dwelling unit interiors.
- 2. Demonstrate applicability of retrofit solution to other buildings of similar typology, including a strategy for successfully measuring, producing and installing the solution on similar buildings and projected cost savings for reproducing the retrofit solution at scale.
- 3. Budget & Financing Plan: all hard and soft costs to furnish and install retrofit design on existing structure. Identify preliminary sources of funding including cash-on-hand, financing, potential incentives, and in-kind services.
- 4. Final Projected Construction Schedule.
- 5. Final Life Cycle Cost Analysis for the Building over the expected term of financing (15 to 30-year period), reflecting the cost for operating and maintaining the retrofit solution over the expected term of financing, and all anticipated operating savings including but not limited to reduced energy, water, maintenance and labor costs. In the case of a campus with multiple similar buildings, projected savings for entire campus should also be provided.
- 6. Building Performance Summary with backup calculation: performance calculations to demonstrate projected energy performance of design over the expected term of financing (15 to 30-year period), allowing for normal deterioration of components and reasonable expectations of improved performance of comparable component replacements.
- 7. Distributed Energy Resources Summary: summary of the Building's and site's capacity for installation of solar or other distributed energy resources, including performance calculations to quantify projected annual on-site energy production.
- 8. For any Building that is unable to meet its projected annual energy demand with on-building or on-site distributed generation resources, the Team must provide a strategy and costing model for procuring additional renewable energy from community solar or other off-site resources, to the extent necessary to meet the Building's projected post-retrofit annual energy needs.
- 9. Resident Management Plan: tenant notification and communication; unit access requirements; unit and exterior clean-up; and parking impacts (where applicable).
- 10. High Performance Guarantee: develop strategy for long term performance guarantee, including for example combining manufacturer guarantees for all components integrated into the solution and any additional cost for servicing retrofit solution over the expected term of financing (15 to 30-year period).
- 11. Regulatory Barriers: list of building code variances that would be required to implement the retrofit design solution.
- 12. Resiliency: summary of how the designed solution will improve the resiliency of the Building.
- 13. Resident Health: summary of how the designed solution will improve the indoor air quality in the Building, specifically addressing (a) how the solution will prevent mold, mildew, pests and other environmental triggers of respiratory or other ailments, and (b) how active ventilation incorporated into the solution will reduce volatile organic compounds and other internal air contaminants. For purposes of this design process, Teams may assume that removal of existing environmental triggers will be incorporated in the Building's business as usual rehab scope of work (and therefore need not be included in the cost of the high performance retrofit solution).
- 14. Proposal for performing any elements of the Building's rehabilitation scope of work not included in the high performance retrofit solution.

Schematic design deliverables will be due within 6 months after the contract execution date. Final deliverables must be provided in a format determined by NYSERDA and acceptable to Building Owner and Owner's financing partners.

III. Application Requirements

A. Application Process

Applications will be accepted from Building Owners and Solution Provider Teams on a rolling basis until the deadline set forth on the first page of this RFP. Each required section of the application must be completed in full. Upon receipt of an application, NYSERDA program staff will review for initial eligibility and

completeness and will inform the applicant if any clarifying information is needed. If the application is incomplete, this may disqualify the application.

Complete and eligible applications will be reviewed and evaluated on a monthly basis. Building Applications and Team Applications will be evaluated by different scoring committees comprised of NYSERDA staff and outside experts to determine which Buildings and Teams are qualified to potentially participate in this round of the prototype design process. NYSERDA will notify all applicants as to whether their Application meets the minimum scoring threshold and are qualified to proceed. Owners of qualified Buildings will then be provided with the identities of all qualified Teams and provided access to the applications of such qualified Teams. Qualified Teams will be provided with the identities of all qualified Buildings and provided access to such qualified Building applications. Owners of qualified Buildings and qualified Teams will then be able to contact each other independently and, upon agreeing to work together, will submit a Joint Project Application to NYSERDA.

When submitting a Building Application or Team Application, the applicant will be required to attest to the following:

- If qualified, applicant agrees to have all application information posted to NYSERDA's secure Sharepoint site for owners of qualified Buildings to review qualified Solution Provider Team Applications and for qualified Solution Provider Teams to review qualified Building Applications.
- Applicant agrees to keep all application information accessed through NYSERDA's Sharepoint site strictly confidential; which shall include, without limitation, not disclosing the same, or knowingly permitting the same, to be disclosed to any person other than NYSERDA employees (or Solution Provider Team Members) and at all times taking reasonable steps to ensure that this obligation is fulfilled.
- The applicant will be legally obligated to indemnify and disclaim any liability against NYSERDA for any damages or losses occurring by virtue of any aspect of the retrofit design process being performed at the Building project site.

The Joint Project Application will confirm that the applicable Team will be designing a solution for the Building specified, and that the Owner of that Building gives permission for that Team to design a retrofit solution for the Building. Subject to the limitations set forth in Section II.B. above, contracts will be awarded to Joint Project Applications on a first come, first served basis until six contracts are awarded or until the Project Application deadline on October 31 30, 2018, whichever comes first.

Contracts will be awarded for up to six different Teams, each relating to the specific qualified Building described in the relevant Joint Project Application. Each contract will be issued to the applicable Prime Contractor, and will provide for funding in the amount of \$75,000 to be allocated among Team Members per their internal agreement. At the conclusion of the six-month design period, Owners will be encouraged to implement the newly designed retrofit solutions by contracting with Teams to furnish and install the retrofit solution, along with other work needed as part of their conventional rehabilitation or renovation.

Once a contract is awarded for any particular Joint Project Application, no other contracts under this RFP will be awarded to the same Team or the same Owner for whose Building that Team is designing the retrofit solution. Once a Team is awarded a contract, no Team Member indicated on the Team Application may be replaced or substituted without written permission of NYSERDA. While a manufacturer may serve as a member of a specific Team, that does not preclude that manufacturer's products from being specified by other Teams.

Qualified Buildings or Qualified Teams that do not proceed to the Project Application or Contract stage may be considered for subsequent RFP rounds or, in the case of Buildings, added to a pipeline of future retrofits. If Owners have buildings that are not scheduled for renovation within the next 12-24 months but that otherwise meet the eligibility and evaluation criteria below and would like them to be considered for future RFPs or as part of a pipeline of future retrofits beyond subsequent RFP rounds, please notify retrofitny@nyserda.ny.gov and those buildings will be added to RetrofitNY's pipeline report.

Upon applicant request, any Building Owners or Teams whose applications are not qualified will be debriefed as to the reasons for their application not being accepted and will be welcome to resubmit the application if issues are remedied, either as part of this RFP round or future rounds.

1. Building Owner Application

Owners may submit a Building Application for each building they would like considered for retrofit. In the case of a campus with multiple Similar Buildings, a single Building representative of the entire campus may be submitted.

Building Owner Applications must include the following elements:

- Building Application Workbook with all required sections complete
- Site photos, including but not limited to:
 - exterior facade labeled from all directions
 - roof labeled from all directions
 - mechanical room(s)
 - representative photos of similar buildings on same campus (if applicable)
- Energy cost data for utilities which Owner pays, including either:
 - Annual Operating Expense statement for the last two years with separate line items for all utility costs, OR
 - Utility bills for the last two years
- Documentation verifying that the Building qualifies (or upon acquisition will qualify) as Affordable Housing (as defined in Section II. A. Definitions)
- Site Plan
- Tax Lot Line Drawings
- Key Floor Plans as required by insurance carriers and/or fire departments

If available, the Owner should also submit:

- Building drawings
- Recently completed Integrated Physical Needs Assessment (IPNA) or Physical Needs Assessment (PNA)
- ASHRAE Level II or similar energy audit
- Resident or resident group testimonials demonstrating a positive relationship with the residents
- Rent roll and income/expenses for the last 3 years (income/expense statement or audited financials)
- If property currently regulated by an agency, summary of regulatory terms, including a copy of the current regulatory agreement or equivalent
- Energy cost data for utilities which resident pays, including either:
 - Utility bills for the last two years from utility companies, OR
 - Written permission for NYSERDA to access resident utility data for the last two years from utility companies, OR
 - Annual utilities allowances for the last two years

If refinancing a property under current Ownership, the Owner should provide a Letter of Interest or other documentation from financing partner(s). If in the process of acquiring the Building, the Owner should provide documentation demonstrating the likelihood of imminent closing (e.g., an executed Purchase Agreement).

In addition to submitting a Building application, the Owner may also apply to be qualified as Prime Contractor for a Solution Provider Team. In this instance, the Owner would submit separate applications for the Building and for the Solution Provider Team and each application would then be evaluated and scored on its own merits. If both applications are qualified, the Owner may then submit a Joint Project Application as both Building Owner and Solution Provider Prime Contractor.

2. Solution Provider Team Application

The Solution Provider Prime Contractor submits the Team Application. While Team Members may be included on more than one Team Application, once a Prime Contractor receives a contract as part of this RFP, that Prime Contractor is precluded from participating on any other Team. Once a Prime Contractor is awarded a contract, any pending Team Application of which Prime Contractor forms a part will need to be resubmitted with a replacement for that Prime Contractor.

The Solution Provider Team Application must include the following elements:

- Solution Provider Team Application Workbook
- Team Member individual staff resumes. Include resumes for all staff listed in the Application Workbook
- Team Member Qualifications: Demonstrate through application narrative, professional resumes and project case studies that the Solution Provider Team includes Team Members with the collective experience, skills and capabilities required to meet the objectives outlined in this RFP.

3. Joint Project Application

Once the Owner of a qualified Building gives permission for a qualified Team to design a solution for that Owner's Building, they will then together submit a Joint Project Application. This will require dual signatures from Building Owner and Prime Contractor confirming the Owner's permission to design a retrofit solution for that Owner's Building and that both parties will abide by the terms indicated in this RFP as applicable to each party. Subject to the limitations set forth in Section II.B. above, contracts will be awarded to the Joint Project Application on a first come, first served basis until six contracts are awarded or until the Project Application deadline expires on October 31, 2018, whichever comes first.

Prime Contractor must also include a copy of NYSERDA's Standard Agreement (Attachment D) and include any qualifications, changes or addenda the Prime Contractor proposes or requests.

Building Owner and Prime Contract must also include a copy of a signed agreement letter that will, at a minimum, confirm their mutual assent to the terms the Owner agreed to in the Building Application attestation box in Section III.A.1 above, running to the benefit of NYSERDA.

B. Evaluation Criteria

1. Building Application Evaluation

Eligible Building Applications will be evaluated using criteria including the following:

- Building is representative of a larger portfolio of similar buildings owned by the same or related entities, making it suitable for replicability
- The capital improvement needs of the Building are clearly defined
- Building experiences high energy costs (based on Community Preservation Corporation's regional Maintenance and Operating Standards)
- Building (and/or property) has onsite energy generation potential including roof-mounted, ground-mounted or wall-mounted solar alone or in combination with other renewable sources (including solar-thermal or geothermal)
- Building Owner has identified a financing strategy for its planned upgrade, and initiated the process with applicable financial institution(s)

- Applicant has previously implemented high-performance or energy efficiency projects
- Applicant demonstrates positive relationship with residents
- Project shows likelihood of succeeding based on totality of evidence provided
- Project demonstrates potential for improving energy/housing affordability for LMI residents

2. Solution Provider Team Application Evaluation

Solution Provider Team Applications will be evaluated using criteria including the following:

- Team demonstrates a versatile set of skills above what is minimally required to achieve a successful integrated solution
- Team's summary of a potential integrative process for the design and implementation phase demonstrates experience with Integrated Project Delivery (IPD) and/or demonstrate understanding of efficient collaborative processes
- Plausibility of the Team's high-level description of its planned strategy and methods for developing a retrofit solution
- Team demonstrates relevant experience with high-performance design and construction
- Team Members demonstrate experience in developing measurement and verification (M&V) plans
- Team demonstrates the capacity to perform ongoing commissioning
- Team's receptivity to ensuring the retrofitted Building's long-term performance
- Team has experience retrofitting resident-occupied buildings
- Team Members have previously worked together
- Team demonstrates the ability to scale up solutions and compress costs through experience with using standardized, production construction techniques or other innovative scalable methods
- Team demonstrates experience working in the affordable housing market/knowledge of affordable housing regulations

3. Reserved Rights

NYSERDA reserves the right to:

- convene one or more pre-proposal meetings/webinars for Building Owners considering submitting applications
- convene one or more pre-proposal meetings/webinars for prospective Solution Provider Team members considering submitting applications
- request additional information needed for clarification regarding an application if required for its proper evaluation
- request a presentation by or interview with any applicant to clarify their application
- issue periodic informational updates and FAQ responses posted to the RetrofitNY website at <https://www.nyserda.ny.gov/RetrofitNY>
- increase funding availability if:

- new program funds become available;
- additional sources of funding become available; OR
- NYSERDA chooses to add time or funding to executed contracts

4. Program Policy Factors

NYSERDA may consider program policy factors in making qualification decisions for Building Applications and Team Applications to best achieve the overall goals and objectives of the RetrofitNY program. Program Policy Factors may include the following portfolio-level considerations:

- The degree to which there are technical, market or organizational risks associated with the proposed Building or Solution Provider Team.
- The degree to which a proposed Building duplicates, complements, or avoids duplication of projects in terms of geographic location, building typology, construction type, or other physical characteristics.
- The degree to which the project contributes to the goals of the RetrofitNY program.
- The degree to which the project promotes the participation of diverse stakeholders or partnership with minority serving institutions.
- Adoption of updated building codes.
- Consideration of the impact on, and benefits to, a diversity of communities, including low-income and rural communities.
- 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 portfolio diversity associated with time to market and / or development of pipeline.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.

V. General Conditions

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Such consideration 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).

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. Contracts may be awarded based on submittal of Project Applications without discussion, or following limited discussion pertaining to the Statement of Work. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement (Standard 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 relating 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 issue a contract to the applicable Prime Contractor approximately 4 weeks from receipt of properly executed joint Project Application. 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 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 the 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 - Building Owner Application

Attachment B – Solution Provider Team Application

Attachment C – Joint Project Application

Attachment D - Standard Agreement



**Technical Assistance and Tools in support of
Clean Heating and Cooling Communities**

Request for Proposal (RFP) 3751

Up to \$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: January 10th, 2018 by 5:00 PM Eastern
Time*

Program Summary:

The New York State Energy Research and Development Authority (NYSERDA) invites proposals to provide technical assistance services to communities selected under NYSEDA's Clean Heating and Cooling Community Campaigns Initiative.

Through its separate Program Opportunity Notice (PON) 3723, NYSEDA has invited New York State communities to submit proposals to implement community-based outreach, education, and bulk procurement campaigns for clean heating and cooling (CH&C) technologies. Similar to community campaigns used to support the adoption of solar photovoltaic technologies (i.e., "Solarize" campaigns), these campaigns will reduce installed costs, increase consumer awareness of RH&C technologies, and jump-start RH&C markets in local jurisdictions. Up to \$1.3 million is available through PON 3723.

Through this RFP 3751, NYSEDA invites proposals from qualified teams to provide technical assistance and tools to NYSEDA and to communities to help organize and execute up to 30 multi-year CH&C campaigns.¹ Up to \$500,000 is available through this solicitation. NYSEDA 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. NYSEDA will also accept proposals by mail or hand-delivery if

¹ Proposers selected under this RFP may be invited to perform similar services in connection with future solicitations.

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.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx)" 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 program manager Scott Smith (Designated Contact) at (518) 862-1090, ext. 3344 or by e-mail scott.smith@nyserdera.ny.gov, or program manager Wendy MacPherson (Designated Contact) at (518) 862-1090, ext. 3553 or by e-mail wendy.macpherson@nyserdera.ny.gov. If you have contractual questions concerning this solicitation, 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 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.nyserdera.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, clean heating & cooling (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 financing. 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 of PON 3723) 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
- Identifying campaign characteristics and approaches that are critical to success and should be replicated in other clean heating and cooling community campaigns

NYSERDA is seeking respondents to this RFP that can provide Technical Assistance to up to 30 communities within New York State that choose to run multi-year Clean Heating and Cooling Campaigns as follows:

- Technical guidance to communities for the installer selection process
- Technical assistance to communities during implementation of the program

- Analysis of “lessons learned” for use in future rounds of the CRHC program
- On-line platform and reporting support

One or more awards will be made for up to \$500,000 in total.

II. Program Requirements

Services Requested

The selected proposing team will provide technical assistance to the community at several stages, as follows:

During the Installer selection process:

- **Develop an RFP template.** Working with NYSERDA, the Technical Assistance Contractor will develop an RFP template. The template RFP will be used by community campaigns to select installers. The RFP should be flexible enough or modular in nature so that any of the RH&C technologies can be covered.
- **Customize RFP for each community campaign.** Working with selected communities, the Technical Assistance Contractor will help the community develop an RFP that meets local community needs.
- **Installer selection support.** The Technical Assistance Contractor will assist in reviewing the proposal submissions to the Installer RFP based on technical criteria. The Technical Assistance Contractor will also answer technical questions about installer proposals.
- **Installer interview process.** The Technical Assistance Contractor will support the community during installer interviews, as appropriate.

During Implementation of the Initiative:

- **Support the development of marketing and outreach materials.** The Technical Assistance Contractor will assist NYSERDA and its Marketing contractor in developing content for a marketing toolkit for communities to use when promoting the campaign.
- **Program Support.** Provide program support during customer sign-up periods such as answering project or technology specific questions.
- **Open houses.** Facilitate planning for open houses and educational sessions sponsored by the Community.

- **Support volunteers.** Provide general technical assistance to campaign volunteers (more fully described in PON 3723).
- **Close out.** After the sign-up period, support contract development and installation.

Analysis of “lessons learned” for future use:

- **Debriefs.** Conduct and summarize debriefs with installers and communities and conduct focus groups with enrollees.
- **Lessons learned.** Complete an analysis at the completion of each community campaign of the successes, challenges, and recommendations for improvement based on lessons learned.
- **Metrics.** Complete an analysis of final campaign metrics including, but not limited to: number of enrollees, number of installations, energy savings and carbon reduction.
- **Reporting.** Working with NYSERDA, establish community reporting requirements. Provide assistance with an online platform the communities can use to report metrics, (number of enrollees, number of installations, energy savings and carbon reduction) and track leads.
- **Platform.** Facilitate access to a platform (e.g. WePowr, Salesforce) that Communities can use to better track leads and enrollees electronically. Assist Communities with customization of the platform, as needed.
- **Data.** Facilitate the organization of metrics and enrollment data and send to NYSERDA quarterly.

Proposer Qualifications

- The proposer must demonstrate knowledge of CH&C Technologies, including insight into the supply chain, direct knowledge of specific equipment performance and factors affecting performance, and an understanding of warranties
- The proposer must demonstrate knowledge of system sizing and installation best practices
- The proposer must understand common contract terms and conditions, best practices, and the ability to identify contracts that have favorable customer terms

- The proposer must demonstrate experience with developing content for technical resources aimed at the general public, and basic skills with online platforms like websites and social media.
- The proposer must demonstrate an understanding of community campaigns like Solarize, past successes and failures, and how such campaigns can be repurposed or modified to accelerate the adoption of RH&C technologies.
- The ability to deliver prompt and exceptional services to NYSERDA and Clean Heating and Cooling Communities.

III. Proposal Requirements and Format

The proposal must be in the following format:

- Section 1: Introduction and General Information and Synopsis (up to 2 pages)
 - Describe general information about the proposing team and provide a synopsis of experience and the proposed approach.
- Section 2: Description of Approach (2-4 pages)
 - Describe approach to delivering high quality technical assistance to Clean Heating and Cooling Campaigns in New York. Clearly articulate the specific approaches to providing assistance with installer selection, support for implementation, analysis of on-going improvement opportunities, and data collection and reporting.
- Section 3: Identification of Project Team (1-2 Pages)
 - Describe the organization of the project team, including clearly identifying roles and responsibilities and an overall project lead responsible for successfully delivering on project goals.
- Section 4: Qualifications (2-4 pages)
 - List and describe team members' previous experience in providing technical assistance support to community campaigns or similar technical assistance
- Section 5: Statement of Work (2-4 Pages)
 - Articulate a clear project plan that lists each task and associated deliverable. The Statement of Work (SOW) is the primary contractual

document that outlines work activities and specifies deliverables. It delineates each step required to accomplish the project objectives. Therefore, each action needs to be identified, indicating who will perform it, how it will be performed and its intended result. At the end of each task description, specific task deliverable(s) must be listed. Be sure to identify the task deliverable, as this will be a measure of your performance. Be clear and specific: concentrate on “how” and not “why”. Use “active voice” sentence structure to make clear who is responsible for specific actions. Use the following phrase to start the description of every task and subtask (“The Contractor shall....”).

- Section 6: Schedule (1-2 pages)
 - Present a timeline from contract signing for delivering services.

- Section 7: Budget (1-2 pages)
 - Develop a detailed budget by task showing positions, rates and hours
 - The budget should reflect supporting six new communities per year for five years with each community running three to five year campaigns

- Appendices: Resumes of Key Personnel (1 page each)

- Appendices: Description of past relevant work with references (1-2 pages each)

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

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.

- Has the proposer provided technical assistance for a Solarize or similar community campaign?

- Has the proposer demonstrated a sufficient understanding of community campaigns and how they can be used to accelerate market adoption of RH&C technologies?
- Is the plan to support the campaigns during implementation well conceived?
- Does the proposal lay out a clear and effective plan for testing, measuring and adjusting based on lessons learned and data?
- Does the proposer present a sound plan for assisting communities with a data platform and reporting?
- Does the proposer have a sufficient understanding of all RH&C technologies offered through this initiative?
- Does the proposer have experience in providing feedback on installer selection?
- Is the overall budget reasonable?
- Is the proposal well-organized, well-written, and complete?
- Does the proposed schedule meet the needs of the program?

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
- References and Other Items
 - Information provided by references
 - The degree to which the applicant has the resources (human and financial) to be able to provide the requested services
 - The degree to which the proposed approach optimizes the use of available funding to achieve programmatic objectives

v. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA

possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to 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 <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 6 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

VI. Attachments:

Attachment A – Budget

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



Customer Targeting Resources for Installers of Energy Efficient HVAC Systems, including Heat Pumps, and other Energy Efficiency and Renewable Energy Products

Request for Proposal (RFP) 3761

Up to \$300,000 Available

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

Proposals Due: February 12, 2018 by 5:00 PM EST*

Program Summary:

The New York State Energy Research and Development Authority (NYSERDA) is soliciting proposals from experienced contractors, or teams of companies, (hereinafter, "Contractor") to provide an internet-based customer targeting resource and complementary consulting services to installers participating in NYSEDA programs (hereinafter, "Installers") that will accelerate market adoption of energy efficient HVAC systems, especially heat pumps, as well as related energy efficiency and renewable energy (hereinafter, "EE/RE") products. The goal of the RFP is to increase the sales closure rate, reduce soft costs and strengthen the overall market for energy efficiency and renewable energy products by providing a clearer path for Installers to target and recruit high probability customers in New York State.

NYSERDA anticipates awarding one Contract for up to \$300,000 for up to a three-year term. NYSEDA reserves the right to add or reduce time and/or funding to awarded 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. NYSEDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSEDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Matt Miller (Designated Contact) at (518) 862-1090, ext. 3442 or by e-mail matthew.miller@nyserda.ny.gov, or Kerry Hogan (Designated Contact) at (518) 862-1090, ext. 3509 or by e-mail kerry.hogan@nyserda.ny.gov. 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 offeror, and (2) may result in the proposer not being awarded a contract.

Informational Webinar: NYSEDA will conduct an informational webinar on Thursday, January 4, 2018 from 3:00pm - 4:00pm Eastern Time where NYSEDA will review this RFP, the application requirements, and answer questions. All applicants are encouraged to participate in this webinar.

- Registration: Interested applicants must register on [NYSEDA's website](#).
- Submitting Questions: Attendees will be able to type in questions during the webinar through the webinar portal. Following the webinar, NYSEDA will post questions and responses on

this webpage. NYSERDA will post all questions anonymously, and NYSERDA's written responses will supersede any responses given during the webinar.

*** 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 Contractor'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.nyserderda.ny.gov/>.

I. Introduction

NYSERDA is a public benefit organization committed to identifying opportunities for the reduction of commercial and residential energy consumption, promoting the use of renewable energy sources, and protecting the environment. NYSERDA provides financial and technical assistance to help consumers, businesses and institutions assess and implement cost-saving energy efficiency measures.

The heating and cooling of buildings is responsible for approximately 32% of all greenhouse gas (GHG) emissions in New York State. In support of New York State's [Reforming the Energy Vision](#), a nation-leading effort to reduce GHG emissions 40% by 2030 and 80% by 2050, NYSERDA has developed an integrated, long-term policy approach to address emissions from the heating and cooling sector. Please refer to the [Renewable Heating and Cooling Policy Framework](#) for more information.

The goal of this RFP is to reduce customer recruitment acquisition costs and other soft costs for Installers of energy efficient HVAC systems, including heat pumps, and related energy efficiency and renewable energy products in New York. NYSERDA intends to partner with one Contractor to deploy resources in New York to identify and cultivate key opportunities for participating Installers, thus enhancing their success and strengthening the overall market growth of EE/RE products.

Contractors are invited to submit a proposal describing their qualifications, skills, and expertise with documented references in the following areas:

- 1.) **Internet-based customer targeting resource:** Deployment of internet-based resources that incorporate information on individual real estate parcels for all of New York as well as building information (e.g., HVAC system, utilities, age, size, fuel type and more) that can be used to target, at a minimum, heat pump opportunities. Tools that can support a wider set of EE/RE opportunities will receive additional points during the award review.
- 2.) **Consultative and general business services:** Support a minimum of 200 Installers participating in NYSERDA programs in the use of the tool to develop business opportunities. These installers are focused on, at a minimum, energy efficient HVAC, especially heat pump, opportunities in the residential and commercial sectors. Proposals that address additional EE/RE products and/or wider commercial market sector opportunities will receive additional points during the award review.

II. Program Requirements

Services Requested

A Contractor to offer Installers free, limited-time use of a customer targeting tool and complementary consulting services, as follows:

- **Targeting:** Summarize high-value buildings or parcels based on market insights, such as residences or businesses that use No. 4 and No. 6 oil for heating, have HVAC systems at the end of their useful life, or do not have access to natural gas, for example.
- **Tool development or repurposing:** Provide a user-friendly, internet-based tool to identify high potential customers that meet the target criteria by building, property, neighborhood, or community.
 - Preference will be given to proposals offering existing tools and resources with proven performance that can be readily introduced in New York State.
 - Preference will be given to proposals offering tools and resources that include other EE/RE technologies in addition to HVAC systems, including heat pumps
 - Preference will also be given to teams that present a viable, market-based solution that will continue beyond the initial NYSERDA offering due to private sector demand and new business development.
- **Tool deployment:** The tool and support services should be available to 200 Installers at no cost during the program period. The Contractor must provide pricing for additional Installers during the program period and for all Installers after the program has ended. The Contractor must choose an approach that meets Installer needs on a timely basis. Contractors may recommend rolling out the deployment on a regional basis (e.g., utility jurisdiction, economic development region, county, etc.) or in phases, as appropriate.
 - Preference will be given to proposals that service the largest number of Installers and/or widest geographic coverage in the timeliest manner.
- **Assistance.** Provide consulting and support services to Installers in using the tool and integrating results into their marketing campaigns and sales activities to increase the recruitment of new high-quality customers.
 - Preference will be given to offerings that can provide Installers with additional tools and resources to help promote heat pump and EE/RE products to their customer base and service area.

Proposer Qualifications

- The proposer must demonstrate experience developing internet-based and other content for technical resources aimed at Installers
- The proposer must demonstrate an ability to collaborate with Installers in their market outreach efforts and engagement with prospective customers.

Contractor's Responsibility

- The Contractor must deliver prompt and exceptional services to NYSERDA, Installers, prospective customers and audiences who express an interest in this effort.

Available Funds

NYSERDA anticipates a total award up to \$300,000 for the Customer Targeting Tool that will run for up to three years. NYSERDA reserves the right to add or reduce time and/or funding to awarded contracts.

III. Proposal Content and Format

All proposals should be prepared in the following format and address all topics requested, as follows:

Section 1: Introduction and Approach (up to 2 pages)

- Provide a brief description of your market-based approach to meet NYSERDA's goals for this RFP, including:
 - The targeting tool and support you will provide installers during the program.

- How the effort will yield ongoing results past the initial program period.
- Summarize your business qualifications and expertise.

Section 2: Qualifications (2-3 pages)

- Describe previous experience developing tools for customer targeting.
- Explain how and to what degree the tool and support activities provided to Installers succeeded in increasing customer interest, sales and market adoption.
- Identify if and how existing tools and resources will be leveraged for this RFP.

Section 3: Identification of Project Team (up to 2 pages)

- Provide summary information on all team members including relevant experience, expected role and contribution to this program.

Section 4: Statement of Work (2-6 pages)

- Present a fully-developed plan for developing targeting parameters, developing or repurposing a targeting tool and associated resources, and deploying the proposed tool to Installers throughout New York.
- Describe how Installers will be effectively supported in a timely manner throughout the program period including training, identification of prospective customers, customer engagement and follow up.
- Describe your intentions for a sustained business presence in New York once this program has ended.
- The Statement of Work (SOW) is the primary contractual document that outlines work activities and specifies deliverables. It delineates each step required to accomplish the project objectives. Therefore, each action needs to be identified, indicating who will perform it, how it will be performed and its intended result. At the end of each task description, specific task deliverable(s) must be listed. Be sure to identify the task deliverable, as this will be a measure of your performance.
- Be clear and specific: concentrate on “how” and not “why.” Use “active voice” sentence structure to make clear who is responsible for specific actions. Use the following phrase to start the description of every task and subtask (“The Contractor shall....”). Each task should include a concise narrative description of the work that will be performed and how the work will be performed and specific deliverables to be provided.

Section 5: Schedule (1-2 pages)

- Present a detailed timeline to include:
 1. Database, website and other resource preparation
 2. Tool availability, Installer access and training
 3. Consulting services and support to individual Installers.

Section 6: Pricing Template (must use the pricing table in Attachment A)

- Provide detailed pricing for deployment of the targeting tool in New York State, use of the tool by 200 Installers including initial training, ongoing support and business consultation services for three years. Also, provide pricing for additional Installer access and services during the program period and continuity once the program has ended.
- NYSERDA anticipates payment for this service, following negotiation of proposed amounts, as follows:
 1. One early payment based on acceptance by NYSERDA of the targeting tool.
 2. Second up-front payment based on an anticipated number of first quarter Installers
 3. Quarterly payments based on the number of installers served for the previous quarter (using the per-installer amounts in Attachment A)
 4. NYSERDA will reserve the right to terminate the agreement should the number of installers served fall below a pre-negotiated amount.

Appendices:

- Resumes of Key Personnel (1 page each)
- Description of past relevant work (1-2 pages each)

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

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**.

Evaluation Criteria:

1. Soundness of the presented plan and demonstrated ability to achieve the objectives of the product and services requested in Section II.
 - Is the targeting approach consistent with market needs and NYSERDA's goals?
2. Demonstrated competency, experience and success to meet Services Requested in Section II, and in particular, the Proposer Qualifications.
 - Has the Contractor presented a sound plan for providing Installers and others with assistance using the tool and achieving positive results with prospective customers?
 - Does the Contractor address additional EE/RE opportunities beyond energy efficient HVAC systems, including heat pumps?
3. Performance of similar tools developed by the Contractor in other markets and applications.
 - Does the Contractor have experience developing a similar tool in another market?
4. Pricing, schedule and potential long-term value of the proposal.
 - Is the initial program pricing reasonable for 200 Installers to be served?
 - Is pricing for additional Installers during the program period reasonable?
 - Does the proposed schedule meet the needs of the program?
 - Does the Contractor demonstrate a market-based approach to ensure Installer engagement and tool longevity beyond the initial program period?
5. Proposal substance, quality, organization and completeness
 - Is the proposal well-written, organized and complete?
 - Does the proposal meet NYSERDA's stated preferences?
 - Does the proposal service the largest number of Installers and/or widest geographic coverage in the timeliest manner?
 - Does the proposal provide Installers with additional tools and resources to help promote heat pump and EE/RE products to their customer base and service area?

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. Contractors will be notified if they are requested to attend an interview.

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

- The degree to which the proposed project optimizes the use of available funding
- The degree to which there are technical, market or organizational risks associated with the project

- The degree to which the proposed project duplicates, complements, or avoids duplication of projects in terms of geographic location, market barrier or market approach addressed
- The degree to which pricing, budgeting and resources align with the rest of the market.
- Information provided by references from previous work efforts.

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 Contractor 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>. Contractors 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 Contractor 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. 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. Contractors 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 Contractors in approximately 6 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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 Contractors 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 Contractor 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 Contractor 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. Contractors 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 – Pricing Template
- Attachment B – Sample Agreement



Proposals Due: January 3, 2018 by 5:00 PM Eastern Standard Time*

NYSEERDA invites proposals from firms interested in serving as the technical assistance provider for New York State’s Solarize program. Services may include, but will not necessarily be limited to technical review, trainings, and marketing and implementation services.

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 [PDF]” located in the “Current Opportunities” section of NYSEERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

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

**Jill Baxter, RFP 3764
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 Lisabeth Tremblay (Designated Contact) at (212) 971-5342, ext. 3632 or by e-mail communitysolar@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 offeror, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by NYSEERDA 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 NYSEERDA’s web site at <https://www.nyserda.ny.gov/>.

** NYSEERDA reserves the right to extend and/or add funding to this RFP and any resulting agreement should other funding sources become available.*

Introduction

Solarize, a program administered by NYSERDA, is a grassroots marketing and outreach effort aimed at getting groups of homes and businesses to go solar. NYSERDA is signing up communities across New York State to undertake an approximately 6-month long outreach effort that encourages the adoption of either community solar subscriptions or rooftop projects.

Since 2014, NYSERDA has hosted three rounds of Solarize programming. The first [two rounds](#) produced over 1600 solar projects, equaling approximately 14MW in capacity, and the third round is currently underway. Solarize campaigns throughout New York State have received a range of resources and support through NYSERDA. The [Solarize Guidebook](#), a detailed overview of how to launch and manage a Solarize campaign, serves as the campaigns' primary resource. Templated materials such as pricing sheets, flyers, press releases, along with other promotional materials are available for the campaign's use, and may be found on the Solarize website, ny-sun.ny.gov/solarize.

In the upcoming round(s) of Solarize, communities will have the option to partner with a community solar project(s) in their community. Solarize campaigns focusing on community solar will be responsible for conveying the benefits of a community solar subscription, provide an overview of specific terms which may include; PPA escalators, termination fees, indexed utility rates and a purchase option; and answer any other related questions.

I. Anticipated Technical Assistance Needs

This RFP seeks qualified vendors/firms/organizations to provide a range of technical assistance services to participating Solarize campaigns. NYSERDA will take on the role of communicating the various needs of the communities to the technical assistance provider.

Providers will be expected to play a critical role in the review of contractor proposals, and assist in the communities' understanding of terms that may be associated to a contractor's subscription offer.

The selected service provider will also be tasked with expanding upon existing marketing materials and resources. The anticipated needs for this scope of work have been divided out into two areas of support, marketing and technical assistance.

A. Marketing

- A refresh of the Solarize Guidebook for residential rooftop campaigns and related materials.
- Expand upon the existing Solarize Guidebook and resources by incorporating a community solar focus into the materials. This update may appear as a "chapter" in the Solarize Guidebook, and may include modified versions of marketing resources, press release templates, and related items (Appendix A).
 - Trainings (web-based) for community members may be required to assist with the implementation of these materials (Appendix B). Providers are expected to create and deliver up to three trainings per year.
- Resources and materials focused on informing the small business community on the benefits of solar.
 - Resources may include a FAQ document, guidance on reviewing contractor quotes, and financing information.

B. Technical Assistance (TA)

- Perform a review of Solarize contractor proposals that have been submitted to the campaign. A typical campaign receives between three to five proposals. The review will cover PV equipment; PV installation, siting, and operation and management practices (specific to ground-mount community solar installations); customer contract terms; project management; and customer service plans.

- Following the review of the contractor proposal(s), the technical provider would be expected to present their findings in a PowerPoint and/or excel sheet format. The review should make an “apples to apples” comparison of the bids and should be explained in layman’s terms (Appendix C).
- In the case that a community needs additional help, the technical assistance provider may at NYSERDA’s request provide Solarize implementation services to selected communities and manage portions of the campaign’s activities. Providers should expect to work with up to five communities per year.

II. Proposal Requirements

A complete proposal will include the below sections. Please limit your response to include only the sections listed within these proposal requirements.

- A. Overview of company
 - Provide a point of contact and process for communication with the NYSERDA project manager.
- B. Scope of work
 - Describe your approach in the development of marketing and outreach materials mentioned in section A of “Anticipated Technical Assistance Needs.”
 - Describe your approach to delivering high quality technical assistance. Clearly define approaches to aiding with installer review, support for implementation, and oversight.
- C. Budget
 - Develop a detailed budget by showing positions, rates and hours, and unit pricing per task listed in the “Anticipated Technical Assistance Needs” section.
 - Provide per campaign unit pricing for both the contractor proposal reviews and implementation services task listed under the “Technical Assistance” section.
 - The budget should detail services over a two-year duration assuming up to 30 Solarize campaigns per year (up to 60 campaigns total).
- D. Management Plan/Schedule
 - Present a timeline from contract signing to delivering services.
 - Include restrictions and/or subcontractors (if applicable).
 - Include limits on number of projects/campaigns that can be assisted at once.
- E. Qualifications
 - List and describe team members’ previous experience in providing technical assistance support to community campaigns or similar technical assistance.
- F. References
 - Provide at least two references from past projects in which your organization’s services were provided.

III. Proposal Evaluation

A Scoring Committee, comprised of internal NYSERDA staff will review and evaluate proposals. Top-ranked firms may also be invited to make oral presentations to the Scoring Committee as part of the final selection process.

Evaluation Criteria in Order of Importance

Project Scope of Work

- Does the proposed SOW have well-defined tasks and deliverables? Do the tasks cover all activities in the RFP? Are the services proposed feasible, innovative, and will make significant progress towards advancing the program? Is the approach testable and flexible, and the work schedule reasonable?

Project Team and Support

- Does the team have relevant technical and outreach management background and experience? Has the proposer previously implemented or partnered on any Solarize campaigns? How firm are the commitments and resources from essential participants, partners, and other organizations?

Project Value/Economics

- Is the overall proposal cost justified based on the expected benefits to the program? How appropriate are the proposal's overall time allocation, and personnel assignment match with the services requested?

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

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

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

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

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

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

Contract Award - NYSERDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. 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 proposers approximately four weeks from the receipt of an application whether your proposal has been selected to receive an award.

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

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

V. Attachments:

Attachment A – Budget Form

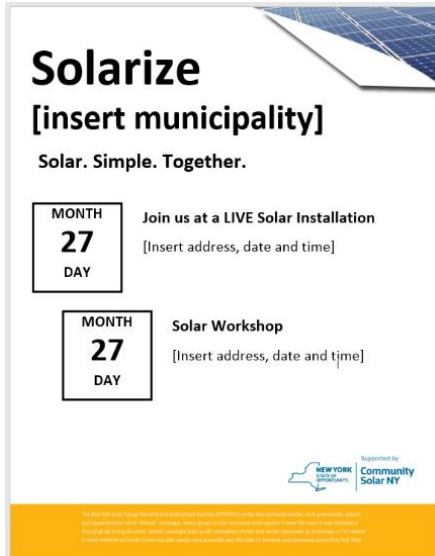
Attachment B – Statement of Work Template

Attachment C – Sample Agreement

VI. Appendix

The below resources are being provided for clarification purposes only. Full versions can be found on the Solarize website, www.ny-sun.ny.gov/solarize.

A.



B. Training Webinar: <https://www.youtube.com/watch?v=VnIYTOrRAPw>

C. Example of Proposal Review with PowerPoint

Solarize Proposal Review

1

Review Agenda

2

- Installer Overview
- Review of Proposed Equipment
- Review of Proposed Pricing
- Discussion / Q&A

Installer Bids

3

Installer name	Sectors		Pricing	
	Residential	Commercial	Direct Purchase	Lease/PPA
Installer A	X	X	X	X
Installer B	X		X	

Installer A

4

Pros Cons

Notes/Interview Suggestions:

Installer B

5

Pros Cons

Notes/Interview Suggestions:

Technology Comparison

6

Technology Offering

7

Installer	Modules	Inverter
Installer A	Primary:	Primary:
	Alternate:	Alternate:
Installer B	Primary:	Primary:
	Alternate:	Alternate:

Technology Offering

8

Module	Country of Origin	ES Efficiency	ES Performance	ES Warranties	Attler	Inverter

Residential Base Pricing

9

Installer	Price				Notes
	Tier 1 \$/W	Tier 2 \$/W	Tier 3 \$/W	PPA \$/kW/h	
Installer A					
Installer B					

Commercial Base Pricing

10

Installer	S/W Price				PPA Price
	25 kW	75 kW	125 kW	200 kW	
Installer A					
Installer B					

Discussion / Q&A

11



Property Management Services
Request for Proposals (RFP) 3765

Proposals Due: February 27, 2018 5:00 PM Eastern Standard Time*

The New York State Energy Research and Development Authority (NYSERDA) requests proposals from firms interested in providing full service, comprehensive professional building management services to improve, maintain and preserve the grounds and building located at 17 Columbia Circle in Albany, New York. The building is an Energy Star Certified, two-story Class A professional office building comprising approximately 66,000 square feet, including 12,000 square feet of partially finished basement space. NYSEERDA is the sole occupant and owner.

NYSERDA intends to award a contract for a period commencing April 1, 2018 with the term expiring on March 31, 2022.

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 (electronic or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSEERDA'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 Stan Brownell Facilities Manager at (518) 862-1090, ext.3211 or by e-mail stanley.brownell@nyserda.ny.gov (for technical inquiries). If you have contractual questions concerning this solicitation, contact Assistant Contract Manager Venice Forbes 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 proposer, 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. 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 NYSEERDA's web site at <https://www.nyserda.ny.gov/>.



I. INTRODUCTION

The New York State Energy Research and Development Authority (NYSERDA) is a public-benefit corporation established by the State Legislature in 1975 to address the State's energy and environmental challenges, pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York. NYSEDA's principal mission is to develop innovative energy solutions to some of the State's most difficult energy and environmental problems in ways that improve the State's economy. NYSEDA seeks to empower the use of clean energy by individuals and businesses and strives to reflect this vision in the operation of NYSEDA's building.

NYSERDA owns and solely occupies a two-story, masonry and steel, professional Class A office building located on a 3.67-acre parcel at 17 Columbia Circle in Albany, New York. The building contains approximately 66,000 square feet of gross rentable space, including approximately 12,000 square feet of partially finished basement area containing storage, data center, mechanical rooms, 6 kitchenettes, and locker/restrooms.

Sustainability is important to NYSEDA. NYSEDA's building has earned a US EPA Energy Star Building Label each year for well over a decade. The property manager will play an important role in helping NYSEDA achieve Authority-wide sustainability goals. NYSEDA is required to comply with various energy and sustainability-related Executive Orders (EOs) issued by the Governor. NYSEDA's expectation is that the firm selected will help NYSEDA comply with all current and future sustainability directives and goals, as well as other mandates and policies issued.

II. SCOPE OF SERVICES

The Building Manager will be required to provide full service, professional building management services ("Building Management Services") necessary to improve, maintain and preserve the building and property located at 17 Columbia Circle, Albany, New York. The Building Manager shall be responsible for regularly assessing the condition of the property, the building, and all of its systems and components. The Building Manager shall also be responsible for establishing capital, operation, and maintenance plans. At NYSEDA's request, the Building Manager shall oversee the design or implementation of build-outs and improvements. All work shall be conducted with the aim of minimizing costs over time, while achieving the maximum benefit to NYSEDA, including achieving Minority-Owned Business Enterprise (MWBE) criteria, Service-Disabled Veteran-Owned Business (SDVOB) criteria, and sustainability related goals, as discussed below.

The Building Manager shall provide services of the scope and quality generally performed by professional property managers, in a reasonable, diligent and careful manner. Its services include managing, improving, and supervising the operation, maintenance and servicing of the property, are to be conducted in a manner that is comparable to, or better than, that generally found in other "Class A" office properties located in the Albany market. Furthermore, all work and services must comply with all applicable federal, state, and local laws, codes, and regulations. All relevant work and services shall be consistent with, and support NYSEDA's compliance with, applicable Executive Orders. The Building Manager shall demonstrate, or be willing to seek out, training and certifications, if requested by NYSEDA, relating to sustainability and other building management services.

All services must be performed to any standards set by the American Society of Heating, Refrigeration, and Air Conditioning Engineers (ASHRAE), when applicable standards exist.

NYSERDA seeks assistance with the following areas and tasks:

Operation and Maintenance

1. The Building Manager shall assess the conditions of the building and its systems, review all existing warranties, manufacturer's instructions, and other contracts, and make recommendations for repair, upgrade or replacement. In instances where billable costs to NYSERDA are under \$1,000, the Building Manager shall make repairs. In all other instances, the Building Manager shall seek NYSERDA's Facility Manager, or designee, approval before undertaking work.
2. The Building Manager shall develop and implement a written Operation and Maintenance Plan including a preventative maintenance schedule in accordance with manufacturer's recommendations, ASHRAE standards, and sustainability best practices.
3. The Building Manager shall maintain, preserve, and keep the building, property and grounds in good repair and condition and cause to be made all necessary and proper repairs, replacements and renewals. Where specifications or standards are not included herein, maintenance shall be in accordance with manufacturer's recommendations and other standards, which includes applicable and desired sustainability standards, goals or protocols. This may include but is not limited to:
 - a. Preventative maintenance on the buildings, grounds and equipment
 - b. Painting
 - c. Interior or exterior cleaning
 - d. Routine repairs, and incidental alterations as may be required in the course of ordinary maintenance and care of the building, including, but not limited to, electrical, plumbing, steam-fitting, carpentry, masonry, elevator repair and maintenance.
4. The Building Manager shall ensure that all work performed at the Building is performed by trained and/or certified technicians, and that such work performed will generally not interfere with the operations of NYSERDA (without approval of NYSERDA's Facility Manager, or designee), whose normal hours of operation are 8:30 AM to 5:00 PM Monday through Friday.
5. The Building Manager is responsible for soliciting, bidding and entering into contracts for any necessary HVAC, equipment maintenance, elevator inspection and maintenance, janitorial, window cleaning, trash removal, integrative pest management, turf and ornamental management, tree maintenance, snowplowing, fire alarm testing/inspection and other services as shall be advisable. NYSERDA's standard terms and conditions, attached to this solicitation, require the flow-down of procurement-related requirements to subcontractors obtained under this contract. NYSERDA shall be directly responsible for payment of gas and electric utility payments. All contracts should meet EO4 requirements, unless cost-prohibitive. Information on purchasing under EO4 can be found here: <https://www.ogs.state.ny.us/greenny/green-purchase.asp>. In addition, subcontractors should also be a MWBE (30%) and/or SDVOB (6%), when possible. MWBE and SDVOB requirements are explained in attachments to this RFP.

Management and Communication

1. The Building Manager shall maintain continuous communication with NYSERDA's Facility Manager, or designee, and as necessary other NYSERDA staff, such as the Facilities staff,

- the Sustainability Coordinator, and other team members that NYSERDA assigns to support its operations on all issues. This shall include conducting meetings and providing required written reports and other schedules monthly and as needed. Written monthly reports shall be submitted to NYSERDA within 10 working days of the end of each month, and shall include a description of services performed, including all systems and equipment, employees/subcontractors involved, and the costs incurred.
2. The Building Manager shall review existing building-related service contracts, make recommendations to NYSERDA as to when such contracts should be rebid, and provide an advanced schedule of bidding needs, which shall be updated prior to December 31 of each year, and updated upon request. At NYSERDA's discretion, this may also include developing and implementing bid packages for such service contracts.
 3. The Building Manager shall develop an Annual Operating and Preventative Maintenance Budget for submission to, and approval by, NYSERDA.
 4. The Building Manager shall hire, or cause to be hired, paid and supervised, all persons necessary to properly maintain and operate the building who, in each instance, shall be the Building Manager's (and not NYSERDA's) employee or independent contractor, as applicable. New York State prevailing wages for Albany County are to be paid for all work done <https://www.labor.ny.gov/home/> (Exhibit E).
 5. The Building Manager shall provide emergency services as needed on a twenty-four (24) hour, seven (7) day a week basis. The Building Manager agrees to provide an emergency telephone service on a twenty-four (24) hour, seven (7) day a week basis. From the time a call is made by NYSERDA to the emergency telephone service, the Building Manager has a maximum of one hour to respond.
 6. The Building Manager shall review all bills received for services, work and supplies ordered in connection with maintaining and operating the Building and shall cause such bills to be paid and shall invoice NYSERDA monthly for reimbursement for such expenses, as described below.
 - a. The Building Manager shall establish and maintain orderly records, such as receipts, bills, contracts, vouchers and other documentation that includes any third-party energy/environmental certifications related to purchases (e.g. ENERGY STAR, WaterSense, GreenGuard, Green Seal, Forest Stewardship Council) to verify that an independent organization has reviewed the manufacturing process of the product and determined that the final product complies with specific standards for safety, quality or performance. NYSERDA may review these records at any time.
 - b. In accordance with the New York State Toxic Substance Act (Right-to-Know Law) and the United States Occupational Safety and Health Administration's Hazard Communication Standard, the State has established and implemented a Right-to-Know/Hazard Communication Program. The Building Manager shall provide information and training to advise employees of the Building Manager and NYSERDA of potentially hazardous substances known to be in the work place. Part of this information is a collection of Safety Data Sheets for all chemicals used by contract vendors. Before any chemical product is used on or in the building, a copy of the product label and Safety Data Sheet must be provided to and approved by NYSERDA's Sustainability Coordinator before the chemical is applied.



Capital Improvements

1. The Building Manager shall ensure that any equipment to be replaced shall be new or remanufactured, be manufactured by a reputable manufacturer, shall provide appropriate warranties, and use the most up-to-date Executive Order No. 4 purchasing specifications from the GreenNY website <https://www.ogs.state.ny.us/greenny/green-purchase.asp> when procuring products and services to ensure compliance with the EO. If no specification exists for the desired product or services, the building manager shall seek guidance from NYSERDA's facilities manager, sustainability coordinator, and/or energy manager and propose options that minimize environmental impact and maximize the protection of public health. The Building Manager shall submit any proposed purchases to NYSERDA for its review and approval.
2. The Building Manager shall provide updates of all changes to existing wiring diagrams and drawings for all existing systems and any systems that are added to the building. Drawings and diagrams are to be compliant with accepted drafting standards.
3. With the prior written consent of NYSERDA, the Building Manager shall negotiate and review contracts to be entered into by the Building Manager for capital repairs and improvements to the Building and supervising all work to be performed under such contracts and authorizing payment for all work performed under such contracts. The Building Manager shall engage, as necessary, the services of architects and engineers as required for the planning and supervision of alterations and/or improvements made or proposed to be made to the Building. The Building Manager shall receive a fee (as proposed to and accepted by NYSERDA, not to exceed 12% of the actual costs incurred) for overseeing such capital related projects.

Reporting and Meeting Requirements

1. The Building Manager will be required to work with the Facility Manager and the properties vendors to collect information, ie., products used, types used, weights of items used to comply with State reporting annually, these requests get solicited in August/September for an October report due date from the prior fiscal year. The other reports are for our contracts team to receive a quarterly report for MWBE/SDVOB reporting purposes.
The monthly request for payment to property management for maintaining the operating budget as we approve the expenditures throughout the year and request for the maintenance fee.
2. Building Manager shall provide written monthly reports to NYSERDA within ten (10) business days of the end of each month including a description of services performed, including all systems and equipment, employees/subcontractors involved, and the costs incurred.
3. Building Manager shall maintain a log of all hours worked for all employees and subcontractors.
4. Unless otherwise mutually agreed, there shall be monthly meetings for the following purposes:
 - a. Review building management progress and quality of work
 - b. Identify and resolve problems, including concerns or potential issues related to compliance with Executive Orders and environmental or energy-related goals and directives

- c. Review proposed purchasing of products and services to ensure compliance, as needed
 - d. Coordinate the efforts of all concerned parties, including the sustainability team, so that services are rendered efficiently and effectively
 - e. Collaborate with the Building Manager, Sustainability Coordinator, Energy Manager, and management about sustainability projects and procurement decisions.
 - f. Maintain a mutual understanding of the contract
 - g. Maintain sound working procedures.
2. Upon award of the contract and prior to the start of any work, the Building Manager shall be available for a kickoff meeting with NYSERDA. This meeting shall include a review of all facility use rules and an introduction to the organization and appropriate staff.
 3. Perform such other building management tasks for NYSERDA properties as may be mutually agreed upon

III. TERM OF THE AGREEMENT

The initial term of the contract(s) awarded under this RFP will be for the time period of April 1, 2018 to March 31, 2022. NYSERDA expects to award a contract to the successful Proposer on or before March 1, 2018. The contract awarded herein is expected to commence on or before April 1, 2018.

IV. PROPOSAL REQUIREMENTS

1. To be considered for award under this RFP, the Proposer must be able to demonstrate to the satisfaction of NYSERDA's Evaluation Team that it has successfully managed a minimum of three commercial office buildings consisting of at least 50,000 rentable square feet in the aggregate in each of the past three years for other property owners. The firm must have a direct contractual agreement for the referenced properties and the scope of building management services must be at least as extensive as the services required by this RFP.
2. The Proposer shall hold a Green Professional Training Operations & Maintenance (GPRO) credential from the U.S. Green Building Council, or a similar credential deemed adequate by NYSERDA, or acquire this credential within 12 months of being awarded the contract.
3. The Proposer must have experience in the following:
 - a. Operating ENERGY STAR certified buildings
 - b. Successfully operating commercial building mechanical, Heating Ventilation and Cooling (HVAC), and control systems
 - c. Successfully troubleshooting and/or performing verification of mechanical control systems and HVAC systems
 - d. Successfully troubleshooting and/or performing verification of other building systems including but limited to: energy management systems (EMS); fire alarm/security systems; and general building and lighting electrical control systems
 - e. Testing instrumentation

- f. Testing and balancing HVAC systems
 - g. Planning and delivering property management systems
 - h. Producing capital repair and improvement plans for office buildings and building operating systems
 - i. Maintaining regular liaison with building tenants/occupants and resolving building orientated complaints
 - j. Implementing cost control and savings measures to ensure the building is operated effectively, efficiently and within budget.
- h. Each page of the proposal should state the name of the proposer, the RFP number, and the page number.

A. Part I: Technical and Management Proposal

Each Proposal shall contain the following information:

1. Company Information

- a. Name of agency/company (including any “doing business as” names)
- b. Headquarters/parent company locations
- c. History of firm
- d. Details of entity business structure (corporation, partnership, LLC)
- e. Date founded
- f. Organization chart of business entity
- g. Office locations and total number of employees at each
- h. Home office address and telephone number and local address and phone number
- i. List of any outstanding litigation that would threaten the viability of the firm or the performance of this contract
- j. Proof of insurance as specified in Section 4

2. Qualifications

- a. A detailed list of buildings managed in the last three years, their respective rentable square feet, and the name of the property owner for whom the property is managed.
- b. An explanation of why the Proposer is the best qualified to perform the contract and demonstrate its qualifications including an item-by-item disclosure outlining how the Building Manager meets or exceeds the requirements of this RFP.
- c. Please submit a business plan, schedule of proposed deliverables, and project management system for this project using methodologies that have been successfully employed in other engagements of similar size and complexity. The plan should include, in the Proposer’s own words, their understanding of the issues and tasks of the project at hand. Proposers are required to present a detailed description of the methodology to be used by it in achieving the objectives of the project and accomplishing the tasks described in the Scope of Services with separate and specific reference to each subsection.



- d. Provide a description of any specific experience and qualifications in building management and any specific experience it has in each of the particular building operations and management disciplines (i.e.: mechanical systems, electrical systems, fire alarms, energy management systems, plumbing systems, or green building operations and maintenance practices, etc.) along with an indication of what building management areas will be performed directly and what will be sub-contracted.
 - e. Provide a sample (or actual if available) building management manual containing actual procedures developed, reports generated, forms utilized and other pertinent data that will assist NYSERDA to determine the technical merit of the proposal.
 - f. Demonstrate the ability to meet the subcontracting requirements for green goods and services referenced in section D2, 4, and 5 in Executive Order No. 4, which are regularly updated on the Office of General Services GreenNY website. <https://ogs.ny.gov/greenny/green-purchase.asp#1>
3. *Staffing*
- a. Provide the size and experience of the corporate staff pool from which staff assigned to the management contract can be drawn.
 - b. Describe the level of staff to be assigned to this project. Identified staff must have direct building management related experience.
 - c. Submit the composition of the staff team the Proposer shall dedicate to this assignment including:
 - d. The names of the employees in the area responsible for this contract
 - e. Their function in the company, title, and number of years' service with the Proposer's firm.
 - f. Detailed resumes for the specific individuals designated to work on this contract, specifying educational and work experiences deemed relevant to the type of work to be undertaken.
 - g. Provide the name of the person designated as the "Project Leader" who will be responsible for the coordination of work efforts of the other individuals. Information to be provided regarding the project leader is to include:
 - i. Length of career in providing Building Management Services
 - ii. Professional designations
 - iii. Number and size of buildings managed in the last three years
 - h. Indicate the anticipated volume of work to be performed directly and to be subcontracted. Where any subcontractor shall be utilized in a particular discipline describe, if known, the subcontractor's qualifications in detail.
4. *References*
1. Each Proposer must submit a list of at least three (3) references documenting its experience, including the following information for all building management services provided over the last three years, or currently in process:
 - a. A listing of all buildings where the Proposer is the building manager highlighting those buildings that have leases with the State of New York or other governmental organizations.
 - b. Firm's list of notable accomplishments including name of entity or company serviced, transaction size, level of difficulty, and dates from onset to conclusion.
 - c. Team personnel assigned to the project.
 - d. Name and Title of Reference.
 - e. Telephone number(s).

2. Individuals identified as references will be assured of anonymity to the fullest degree possible under applicable law.

NYSERDA retains the right to request any additional information pertaining to the Proposer's ability, qualifications, and procedures used to accomplish all work under the contract as it deems necessary to ensure safe and satisfactory work.

B. Part II: Cost Proposal

All Proposers must submit their fee proposal for required services necessary to provide NYSERDA with the required deliverables in the format contained in Attachment C marked "Cost Proposal." Each Cost Proposal must include:

1. The annual Management Fee, to be paid in equal monthly installments, to be charged for each year of the agreement as a fixed annual dollar amount.
 - a. For the purposes of this contract, the "Management Fee" shall include the following: cost of off-site corporate building management and administrative personnel; all overhead and profit; all administrative expenses including payroll processing cost, auditing, accounting, reporting or other requirements.
 - b. The annual Operating budget must be prepared for approval annually by March 1 of every calendar year.
2. A detailed listing of any other expenses or fees to be paid directly to the Proposer (excluding those additional services provided below).
 - a. These expenses shall be based on the actual costs incurred with no mark-up allowed. These items should include a list of the Building Manager's on-site employee(s) (in Full Time Equivalent) by title, their respective salary(s), all fringe benefits, any other ancillary items provided to employees (such as 401K, leased vehicles, paid parking, etc.) together with a list of any other items and their respective cost to be charged by the Proposer as part of this agreement. If periodic building related services (e.g. electricians, plumbers) are to be provided by employees of the Proposer, the listing should include those titles and their respective hourly rates and fringe benefits. Unless otherwise agreed to by NYSERDA, reimbursement for these items will be limited to the amount contained in the Proposer's proposal. Any expenses not specifically included will not be eligible for reimbursement and must be absorbed by the Management Fee.
3. A fee proposal and detailed explanation for supplemental work that may be performed in addition to the foregoing such as to supervise or secure renovation or construction services, including capital repairs and replacements. The proposal must clearly identify what types of services will be separately billed to NYSERDA as opposed to those that are included in the Management Fee. This fee should be shown as a percentage of the direct construction costs but may not exceed 15%.
4. If construction related services are provided by other employees of the Proposer (e.g. engineers, electricians, plumbers), the listing should include those titles and their respective hourly rates. Unless otherwise agreed to by NYSERDA, payment for these items will be limited to the hourly rates contained in the Proposer's proposal.

Proposal Evaluation

At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to interview.

EVALUATION CRITERIA

This is a best value solicitation. Each Proposal will be initially evaluated for conformance and qualitative compliance with the Proposal Requirements. The Scoring Committee will use a point system to create a list of Proposals in ranked order. In addition, consideration will be made to whether the Proposer can perform at the quoted prices while maintaining adequate levels and quality of service over the full term of the contract. Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below.

Part I: Technical and Management Proposal

1. Approach and Scope of Services
 - a. Completeness. The proposal is complete and follows the outline in section IV of this RFP.
 - b. Quality of approach and methodology for performing the effort clearly demonstrates an understanding of the applicable issues and requirements for building management.
 - c. Quality, clarity and completeness of scope of services, including extent to which alternative approaches/tasks will achieve objectives.
 - d. Quality, clarity and completeness of the sample (or actual, if available) building management manual.
2. Experience
 - a. Quality, extent and relevance of Proposer's operational experience (including sub-contractors) in conducting all facets of building operations.
 - b. Quality, extent, and relevance of Proposer's experience with ENERGY STAR buildings, green building practices, and/or other sustainability principles as detailed in Scope of Services, above.
 - c. Quality, extent and relevance of Proposer's building management experience (including sub-contractors) in conducting similar efforts, particularly of a magnitude and setting similar to that described by this RFP.
 - d. Quality, extent and relevance of experience, education and training of key personnel (including subcontractors).
 - e. Preference given to those who are experienced in green buildings operations and maintenance.
3. References
 - a. Proposer's service capability, reputation, facilities, equipment and past performance.
 - b. Proposer's previous performance in contracts or business dealings with municipal, state or federal agencies, or other entities, including NYSERDA.
4. Organization, Staffing and Management Plan
 - a. Quality of project organization and management plan; extent to which they will provide for successful, timely and fully compliant program implementation as evidenced by the following:
 - b. Plan for controlling the effort.
 - c. Coordination of subcontractors, joint ventures or teaming arrangements.
 - d. Plan for phasing personnel into the effort.
 - e. Quality of interaction and coordination with NYSERDA.
 - f. Reporting methodologies.



5. Extent and reasonableness of location(s) from which services are provided.

Part II: Cost and Contract Submittal:

1. The pricing proposal will be evaluated for reasonableness of cost for the total effort. It may also serve as the basis for subsequent negotiations of price if necessary.

PROGRAM POLICY FACTORS

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

1. The degree to which pricing and hourly rates are in line with the rest of the market.
2. Contractor's ability to assist NYSERDA with compliance with local, state, or federal mandates and/or goals.

GENERAL CONDITIONS

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

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

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

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

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

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



New York Executive Law Article 15-A - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority- and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in the Sample Agreement.

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 D Diversity Practices Questionnaire.

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. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 4 weeks from the (proposal due date/receipt of an application) whether their proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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 – Annual Management Fee
 - Attachment B – Sample Agreement including Exhibit A - template statement of work
 - Attachment C - MWBE
 - Attachment D - SDVOB
 - Attachment E - Diversity Practice Questionnaire
 - Attachment F - Prevailing Wages <https://www.labor.ny.gov/home/>
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New Construction Initiatives Support Services

Request for Proposals (RFP) 3771

No funding is associated with this Solicitation

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

Applications accepted continuously through December 28, 2023 by 5:00 PM Eastern Time*

New York State Energy Research and Development Authority (NYSERDA) is accepting Applications from firms to become approved Primary Energy Consultants, serving projects in NYSEDA's New Construction Initiatives. NYSEDA seeks firms capable of delivering energy modeling and analysis, building commissioning, advanced building facilitation, third-party Quality Assurance, and Smart Building services to significantly increase the performance of buildings and their energy systems to reduce overall greenhouse gas emissions. Primary Energy Consultants will deliver these services to building owners, developers, and leaseholders. Approved Consultants will execute two-year agreements with NYSEDA, with two (2) two-year options to renew at NYSEDA's discretion. All Agreements will end no later than two years following the close of the RFP or until all work assigned under the Agreement has been completed.

NYSERDA offers the following benefits to approved Primary Energy Consultants:

- Access to New Construction Initiative cost-share funding, as applicable;
- Access to technical guidance documents, case studies and other materials;
- Promotional materials such as NYSEDA literature and messaging support;
- Publicity through NYSEDA's website at www.nyserda.ny.gov.

Primary Energy Consultants approved via this solicitation will be eligible to provide services under several NYSEDA Initiatives, including the Commercial New Construction Program, Multifamily New Construction Program, and Low-rise Residential New Construction Program. In addition, approved firms will be considered eligible modeling entities under PON3308: Commercial Tenant Program. Future Initiatives that require similar technical support services may be added to this solicitation, in alignment with NYSEDA's Clean Energy Fund Investment Plans.

Firms will be required to demonstrate relevant staff credentials, experience on three previous projects in which the applicant has provided energy consulting services, and evidence that the applicant has achieved above-code energy performance on at least one project since 2009. Applicants may indicate their interest in providing one or more services as a Primary Energy Consultant. Firms previously approved under RFP 3036 will automatically be approved under this solicitation. Upon request, firms qualified under RFQ 3691 as RTEM System Providers may also be listed on NYSEDA's website under this solicitation as Smart Buildings service providers.

Application Submission: Applicants may submit an online Primary Energy Consultant Vendor Application via: https://portal.nyserda.ny.gov/CORE_CONAPP_Program_Page

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. NYSEDA 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 Zach Zill (Designated Contact) at (212) 971-5342, ext. 3092 or by e-mail zachary.zill@nyserda.ny.gov or Pat Fitzgerald (Designated Contact) at (518) 862-1090, ext. 3385 or by e-mail patrick.fitzgerald@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 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

The goal of this solicitation is to expand the market of firms that provide design and technical assistance, energy modeling and analysis, quality assurance, Smart Buildings services, and advanced building facilitation services including, but not limited to, Integrated Project Delivery consulting, Passive House consulting, and Zero Net Energy consulting services. NYSERDA seeks to provide project owners with the expertise they need to achieve significant energy savings in the design and delivery of new construction and gut rehabilitation projects in New York State. Additionally, NYSERDA seeks to facilitate the development of increased proficiency among service providers in delivering advanced clean energy buildings. By providing a pathway for a range of firms to participate in advanced clean energy building projects, NYSERDA aims to drive market development and reduce barriers and soft costs in the production of energy efficient new buildings.

Firms are invited to indicate their interest in providing one or multiple of the following technical support services. These services are required by projects receiving support through one or more of NYSERDA’s New Construction Initiatives. Selection through this RFP serves as a pre-condition for eligibility to receive NYSERDA New Construction Task Work Orders and incentive payments:

A. Energy Modeling & Analysis

Advanced clean energy building design often depends upon predictive energy models that approximate how a building will consume energy in the real world. NYSERDA seeks firms capable of advising project owners on the most effective and cost-efficient design strategies for achieving energy savings, and who can provide high-quality energy modeling services using a variety of software tools.

B. Building Commissioning

Building Commissioning ensures that projects are delivered according to the Owner’s Project Requirements, resulting in buildings that are more energy efficient with lower operations and maintenance costs. Commissioning and its documentation are critical to correctly benchmark the baseline energy consumption of a facility. NYSERDA seeks firms capable of delivering commissioning services, including early development of Project Requirements, Basis of Design, Operations & Maintenance Manual(s), and Commissioning Plan(s).

C. Advanced Clean Energy Building Facilitation

Projects seeking to achieve advanced clean energy performance often require early coordination among stakeholders, also known as the Integrated Project Delivery model. Buildings designed to a Passive House or Zero Net Energy standard typically perform early integration of design team, energy consultants, General Contractor and sub-contractors to plan the deployment of energy efficient systems and measures. Firms capable of providing advanced clean energy facilitation services for project owners are invited to apply under this solicitation.

D. Third Party Quality Assurance

Many clean energy standards rely on third party quality assurance firms to verify that new construction projects are on track to achieve the energy savings required by their standards. For example, Residential Energy Services Network (RESNET)-accredited Rating Providers perform quality assurance and verification of Home Energy Rating System (HERS) Ratings achieved by projects. NYSERDA invites firms capable of providing third party quality assurance oversight for these standards to apply under this solicitation.

E. Smart Buildings Services

Smart buildings use Information and Communication Technologies (ICT) to enable automated building operations and control, and to optimize operations and whole-building performance. Smart buildings allow operators and occupants to interface with the building, providing visibility into its operations and actionable information. Smart buildings can be responsive to electric grid conditions, create a better environment for occupants, improve resiliency and reliability, and decrease operations and maintenance costs and effort. Installing Smart Buildings equipment during initial building construction is far more cost-effective than retrofitting equipment into existing buildings. NYSERDA invites firms who can provide Smart Building design and installation services to apply under this solicitation. Upon request, firms qualified under RFQ 3691 as RTEM System Providers may also be listed on NYSERDA's website under this solicitation.

The specific activities expected of approved Consultants will vary depending on the Initiative and project sector, but may include:

- Scoping meetings, integrated project delivery services, and charrettes;
- Developing scope and budget estimates for technical support services;
- Evaluating building systems;
- Energy modeling using a variety of software tools;
- Performance validations;
- Quality Assurance of RESNET HERS Ratings, and of projects following other third party standards;
- Building commissioning;
- Passive House design consulting, performance testing, and certification services;
- Smart Building system design and installation;
- Other related areas or services as directed by NYSERDA or by the project owner.

Applicants are encouraged to familiarize themselves with the requirements and procedures of NYSERDA's current New Construction initiatives:

- PON 3609 – Commercial New Construction Program
- PON 3716 – Low-rise Residential New Construction Program
- PON 3717 – Multifamily Residential New Construction Program
- NYSERDA intends to issue additional Initiatives in the coming years, and vendors approved under this solicitation will be eligible support those Initiatives.

II. Eligibility Requirements

Applicant eligibility under this solicitation will be determined by the firm's credentials and experience. At a minimum, applicants must demonstrate the following:

- 1) Evidence that a current staff member has at least one of the following credentials (other credentials submitted to NYSERDA with justification will be considered on a case-by-case basis)
 - Certified Passive House Consultant
 - Certified Passive House Designer
 - Certified Energy Manager
 - Building Energy Modeling Professional
 - Building Energy Simulation Analyst
 - Passive House Institute of United States (PHIUS)+ Rater
 - PHIUS+ Verifier
 - RESNET HERS Rater*
 - RESNET Quality Assurance Designee
 - Certified Building Commissioning Professional (AEE)

- Building Commissioning Professional (BCxP), American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE)
- Certified Commissioning Professional, American National Standards Institute (ANSI)
- Certified Commissioning Authority (CxA) Certified
- Building Performance Institute (BPI) Multifamily Building Analyst
- Leadership in Energy and Environmental Design Accredited Professional (LEED AP);

AND

- 2) Experience on three (3) previous projects in which the applicant company has provided energy consulting services; **AND**
- 3) Evidence that the applicant company, or a current staff member, provided energy consulting services on at least one project since 2009 that achieved above-code energy performance. Above-code performance can be demonstrated by
 - third-party certification achievement, with appropriate documentation, including but not limited to ENERGY STAR, PHI, PHIUS, LEED, Net Zero Energy Building (NZEB), or Zero Energy Ready (ZER) Homes certification, **OR**
 - State or federal energy efficiency program approval and certification.
 - Other evidence of above-code performance submitted to NYSERDA with justification will be considered on a case-by-case basis.

*** HERS Raters applying under this solicitation must be affiliated with a NYSERDA-recognized RESNET-Accredited Provider. Raters should provide the information for their affiliated Provider in the Company Profile document upload.**

Approved applicants may have their credentials and project experience displayed publicly on NYSERDA's website. Applicants are encouraged to submit materials demonstrating their range of qualifications and achievements, and to provide comprehensive staff credentials related to the design and construction of clean energy buildings, above and beyond the minimum listed above.

Work samples submitted to demonstrate an applicant's project experience may be for new construction or a substantial renovation, and must include a narrative, not to exceed ten (10) pages, that describes the following:

- The project background
- Scope of work (including square footage) and budget
- Service(s) provided
- Design process
- Initial goals for the project, including the relevant energy code baseline.
- Measures and alternatives presented to the customer
- List of personnel and roles on the project
- Energy modeling software used (if applicable)
- Results of technical assistance provided to the customer, including the resulting energy efficiency of the project.

Approved Primary Energy Consultants will be subject to occasional performance reviews by NYSERDA staff or Designees. Performance reviews may take into consideration project owner feedback regarding the Consultant's performance. Approved Consultants whose performance is deemed unsatisfactory may be disqualified from further serving NYSERDA's New Construction Initiatives. NYSERDA may, in the future, create a mechanism whereby project owners can provide public feedback on the services received from their selected Primary Energy Consultant.

III. Application Process

Applications may be submitted as described on page 1 of this solicitation. Online submission is preferable, via NYSERDA's online portal:

https://portal.nyserdera.ny.gov/CORE_CONAPP_Program_Page

Applicants are invited to document their skills, expertise, and qualifications in any or multiple of the service areas listed in this solicitation. Applicants are permitted to team with subcontractors who offer complementary expertise. The Application package consists of the following:

- Online submission of **company information**, including primary contact and regions served, and document upload of a one-page company profile;
- Online submission and document uploads of relevant **credentials** held by Applicant staff;
- Online submission and document uploads for three (3) **project work samples**, with relevant project information, services provided, energy savings metrics, narratives, and third-party certifications or verification (if applicable);
- **Billing rate schedule** in NYSERDA-provided format;
- Review and agreement with, or proposed modifications to, solicitation **Terms & Conditions**;
- **Disclosure** of past bankruptcy or felony conviction and Prior Findings of Non-Responsibility, and e-signature certification

Applications will be reviewed in the order that they are received. Applicants will be notified of acceptance or rejections within four (4) weeks after a complete application is received. Any clarification required by NYSERDA review staff will be communicated to the applicant via written comments. Applicants will be required to respond to comments in a timely fashion. If there is a significant delay in Applicant's response to NYSERDA comments, NYSERDA reserves the right to disqualify or disapprove the application.

Firms whose applications are rejected may request a de-briefing and may reapply. Firms whose applications are rejected twice may not reapply until 12 months after the initial application date.

Firms previously approved under RFP 3036 will automatically be approved under this solicitation. These firms may indicate their interest in providing additional services as identified herein, via the Salesforce portal or by written communication with NYSERDA staff.

IV. Approved Primary Energy Consultant Responsibilities

Approved applicants will enter into a standard two-year NYSERDA contract Agreement with a Statement of Work, with two (2) two-year options to renew at NYSERDA's discretion. All Agreements will end no later than two years following the close of the RFP or until all work assigned under the Agreement has been completed. Work conducted under the Agreement will be assigned by NYSERDA via a project-specific Task Work Order (TWO).

Upon contract execution, approved applicants will be required to undergo training on how to navigate NYSERDA's project databases and successfully usher a project through the New Construction Initiatives process. NYSERDA may facilitate regular training sessions to keep approved Consultants up to date with New Construction Initiatives. Approved firms will be listed on NYSERDA's website and may be contacted by project owners assembling a team to design and construct an advanced clean energy building.

At the end of each contract period, each vendor will be evaluated based on the performance criteria in the RFP, and NYSERDA will determine whether to exercise an option to extend the Agreement for an additional term.

Approved Primary Energy Consultants are responsible for:

- A. Promoting the use of effective, energy-efficient products, services and designs, as defined by this RFP;
- B. Abiding by the Terms and Conditions in this RFP;
- C. Keeping relevant credentials up to date. If the Consultant allows credentials to lapse or qualified staff to leave the firm, such that the firm no longer meets the minimum eligibility requirements, their approved status will be terminated;
- D. Keeping up to date with NYSERDA's New Construction Initiatives;
- E. Fully cooperating in any NYSERDA investigation of a possible violation of these rules. Failure to comply may result in the approved Consultant losing its approved status. Becoming an approved Primary Energy Consultant is completely voluntary and NYSERDA can remove a firm from the list at any time for any reason. NYSERDA may revoke a firm's status and remove them from NYSERDA's website if the firm does

not meet all Initiative requirements. Firms may also request to be removed from the New Construction Qualified Primary Energy Consultant list.

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 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 <https://www.nyserdera.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

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

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

http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). 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 applicants in approximately four (4) 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.

VI: ATTACHMENTS FOR REFERENCE

Attachment A – Sample Agreement, Scope of Work, and Terms & Conditions
Attachment B – Project Billing Rates Template



**OUTSIDE COUNSEL SERVICES
Request for Proposals (RFP) 3776**

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

Proposals Due: Wednesday, January 24, 2018 by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (“NYSERDA”) invites proposals from law firms interested in providing outside legal services to support the administration of NYSEDA’s programs. NYSEDA seeks firms within and outside of New York State with demonstrated experience in specific areas of law and/or policy. Firms must be prepared to demonstrate that they are a certified, in the process of being certified, or if not certified, willing to subcontract with a Minority and Women-Owned Business Enterprise (MWBE) in the event the firm’s contract with NYSEDA exceeds \$25,000. Firms may submit a proposal to provide services for one or more of the following categories:

1. Energy regulatory matters, both federal and New York State, specifically relating to clean energy market conditions, standards, business models, and financing structures as they may arise at both the state and federal levels at the Federal Energy Regulatory Commission and in other fora;
2. General New York State public authority legal and regulatory compliance;
3. Intellectual property, particularly as it relates to enforcement of contractual recoupment or royalty provisions in NYSEDA’s contracts, data management and compliance, and software licensing agreements;
4. Taxation and tax policy, specifically relating to both federal and State production and investment tax credits, and the impacts of state and federal tax reform on energy law and policy, including energy storage implementation;
5. E-discovery, including Freedom of Information Law request fulfillment and document review;
6. Uniform code, energy code, and stretch code development, including drafting, analyzing, reviewing, advising on, and/or commenting on proposed amendments to building, energy, or stretch codes;
7. Matters involving the New York Green Bank, specifically, the raising of private sector funds to be invested alongside public funds at the portfolio level, which may include advice and analysis relating to potential legal structures, state and federal regulatory issues, investor term sheets, issuance of an offering

memorandum or equivalent, drafting and negotiating of investor documentation, and compliance and/or governance processes and procedures (see separately issued request for proposals for advisory services at <https://portal.greenbank.ny.gov/servlet/servlet.FileDownload?file=00Pt0000004DYwyEAG>); and,

8. Federal and state legal matters relating to the decommissioning of nuclear energy generating facilities.

The firm or firms selected will be expected to act as outside counsel for NYSERDA for a contract period ending October 1, 2019, renewable for up to two (2) years at NYSERDA's sole discretion. NYSERDA reserves the right to add additional time and funding. ***Firms that have contracts with NYSERDA covering one of the above categories should not propose into that category in this RFP but may propose into other categories.***

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 Sarah Main at (518) 862-1090, ext. 3906 or Sarah.Main@nyserda.ny.gov, or Laura Rowe, Esq. at (518) 862-1090, ext. 3610 or Laura.Rowe@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or Venice.Forbes@nyserda.ny.gov or Ann Trivison at (518) 862-1090, ext. 3401 Ann.Trivison@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

NYSERDA is a public benefit corporation of the State of New York created and operating under the provisions of Public Authorities Law, §§1850 *et. seq.* (the "New York State Energy Research and Development Authority Act" or "Act"). NYSERDA offers objective information and analysis; innovative programs, including energy efficiency, renewable energy, and energy research and development; technical expertise; and funding to help New Yorkers increase energy efficiency, save money, use renewable energy, and reduce reliance on fossil fuels. In addition, NYSERDA is responsible for managing radioactive wastes and facilities at the Western New York Nuclear Service Center in West Valley, New York; managing certain premises and facilities in Malta, New York, known as the Saratoga Technology + Energy Park (STEP); and reducing costs of public utility and other energy facilities through tax-exempt or taxable non-recourse revenue bond financing.

Additional background information on NYSERDA, including by-laws, is available on the NYSERDA website at www.nysesda.ny.gov.

NYSERDA requests proposals from law firms interested in providing outside legal services related to a wide array of legal issues.

II. Scope of Services

Proposal Categories

The following categories comprise the scope of requested legal services:

1. Energy regulatory matters;
2. New York State public authority legal and regulatory compliance;
3. Intellectual property;
4. Taxation and tax policy;
5. E-discovery;
6. Uniform code, energy code, and stretch code development;
7. New York Green Bank matters; and
8. Matters pertaining to nuclear energy generating facilities.

Firms may respond to one or more category of requested legal services (outlined in greater detail below). Firms that have contracts with NYSERDA covering one of the above categories should not propose into that category in this RFP but may propose into other categories. If responding to more than one category, firms should submit separate proposals in Salesforce (see "Proposal Submission" above) for each category in which the firm wishes to be considered and evaluated. Each separate submission must conform to the Submission Requirements outlined below.

Some of NYSERDA's legal needs will require services of firms that are local to the

Albany New York region. For state-level matters, NYSERDA will require that firms have a New York practice. For federal matters and those not directly implicating New York State law or regulation, firms need not necessarily be located within New York State.

The firm or firms selected will be expected to act as outside counsel for NYSERDA, on an as-needed basis, for a contract period ending October 1, 2019 renewable for up to two (2) years at NYSERDA's sole discretion. NYSERDA reserves the right to add additional time and funding to the selected contracts.

Specific Legal Services

1. Energy Regulatory Matters
 - a. Rendering objective opinions with respect to matters of state and federal law (including matters before the Federal Energy Regulatory Commission and in other fora) that arise in the administration of NYSERDA's programs and implementation of state energy policies, including aspects of program design related to clean energy market conditions, standards, business models, financing structures, and policy development.
2. New York State Public Authority Legal and Regulatory Compliance
 - a. Preparing, reviewing, and/or advising NYSERDA with regard to resolutions, notices, and other documents or procedures required in connection with State and local laws, regulations, policies, and/or procedures.
 - b. Drafting, analyzing, advising, or commenting on federal and state legislation, statutes, regulations and rules, NYSERDA guidelines, and other matters.
3. Intellectual Property
 - a. The enforcement of contractual recoupment or royalty provisions in NYSERDA and third-party contracts, data management and compliance, and software licensing agreements.
 - b. Providing advice with respect to, and potentially representing NYSERDA in, dispute resolution and litigation matters, particularly, matters that involve intellectual property, bankruptcy or other commercial issues.
4. Taxation and Tax Policy
 - a. Issues relating to both federal and State production and investment tax credits, or other local, state and federal tax matters that may directly or indirectly impact clean energy markets and development.
5. E-Discovery
 - a. Fulfillment of Freedom of Information Law requests and assisting NYSERDA with document review in the context of responses to requests for public documents or responding to other requests for documents from public or private entities.
6. Uniform Code, Energy Code, and Stretch Code Development
 - a. Drafting, analyzing, reviewing, advising on, and/or commenting on proposed

amendments to building, energy, or stretch codes (stretch codes are voluntary, more stringent model energy codes that can be adopted by municipalities, utilities, or other entities to achieve greater levels of energy efficiency). This may include drafting model codes and/or model implementation resolutions for local governments, advising on how to assist local governments in implementing or enacting the codes, and/or providing objective opinions related to NYSERDA programmatic activities that support or intersect with the Uniform Code, Energy Code, or Stretch Codes.

7. NY Green Bank Matters
 - a. Assisting NYSERDA with legal, regulatory, structural and other advice related to the planned future operations and functions of the New York Green Bank, a division of NYSERDA, with respect to the raising of private sector funds to be invested alongside public funds at the portfolio level, which may include advice and analysis relating to potential legal structures, state and federal regulatory issues, investor term sheets, issuance of an offering memorandum or equivalent, drafting and negotiating of investor documentation, and compliance and/or governance processes and procedures (see separately issued request for proposals for advisory services at <https://portal.greenbank.ny.gov/servlet/servlet.FileDownload?file=00Pt0000004DYwyEAG>).

8. Nuclear Energy Generating Facilities
 - a. Federal and state legal matters relating to the decommissioning of nuclear energy generating facilities including considerations such as transportation, waste disposal, unrestricted use, and environmental issues.

Regardless of the category of services provided, firms may be required to participate in meetings with NYSERDA counsel and staff, NYSERDA's Members (board of directors) and other parties, as necessary or appropriate.

III. Proposal Requirements

1. **Submission Requirements.** Proposing firms are required to submit all Proposal Requirements for each category of legal services (see Specific Legal Services above) for which the firm wishes to be considered for qualification. Firms are not required to propose for every category and are encouraged to propose for those areas in which they have experience and expertise. Firms will only be considered for qualification in categories for which all Proposal Requirements have been submitted. Firms must clearly identify which of the categories are included in their proposals. Submissions should conform to the following standardized file name: Firm Name_Category of Legal Service (i.e. Law Firm_Nuclear Energy Generating Facilities).

To meet the evaluation criteria listed below, firms must provide adequate information to effectively demonstrate the capability to perform the legal services required. Completed proposals must be electronically submitted in accordance with the Proposal Submission instructions outlined above. 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 “[PDF]” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). **Late proposals will not be evaluated, and proposals lacking the Submission Requirements may be excluded from evaluation.** Faxed or e-mailed copies will not be accepted.

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 during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.
3. **Format.** The proposal must be in the following format: Proposals should be uploaded in Salesforce as either Word documents, PDFs, or, where applicable, as Excel documents. Each proposal should consist of one Word, PDF, or Excel document containing the following two Sections: Section I must consist of responses to the qualifications items (Section 4. Description of Qualifications, below). Section II must consist of complete contract cost and pricing information (Section 5. Cost, below). As a separate Word or PDF document, upload the resumes of attorneys who will work on the account under the category of legal service you propose to provide. Additionally, as a separate document, upload the proposed retainer agreement (Section 6. Agreement, below). Each section must be complete, so that it can be evaluated independently. Each document uploaded in response to the category of legal services you propose to provide should conform to the file name convention described above under Submission Requirements.

There is no page limit, font size, or style requirements for submissions. Please use best judgment as to how many pages are required to adequately address Section 4

(Description of Qualifications) and Section 5 (Cost) below. 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, the RFP number, and the page number.

4. **Description of Qualifications.** For each of the categories of legal services you propose to provide, you should:
 - a) Describe the law firms experience in general representation of public entities, including New York State public benefit corporations or public authorities.
 - b) Provide a description for each of the services you propose to provide to NYSERDA. Clearly indicate which of the categories in the enumerated Specific Legal Services list in Section II you wish to be considered for and evaluated on. Each category should be addressed separately, so it can be evaluated independently. Indicate whether your firm is prepared to render the services enumerated using its own resources or whether some services will be subcontracted. The description should emphasize particular services, and indicate whether your firm has special expertise in rendering those services. If applicable, describe the nature of that special expertise. Proposers may propose into any number of the enumerated service categories.
 - c) Be available to accommodate the legal needs of NYSERDA. Proposers must demonstrate that primary and reasonably qualified backup and support attorneys are available as needed, and that the proposer has staff capabilities to perform the work on a timely basis. Proposers must be supported by a firm with sufficient professional/support staff to adequately provide the required services.
 - d) Provide the names of the partners, associates, and paralegals who would be assigned to NYSERDA's account and their experience in performing the services requested in this RFP.
 - e) Include resumes for all employees proposed to be involved on this account. Include a description of each employee's function in the firm, title, office address, and number of years of service with the firm and other relevant past experience. Attorney resumes should clearly coincide with the category of legal services the attorney proposes to provide in item 4(b).
 - f) Describe the percentage of the firm's time commitment to this account that each person proposed to be involved on this account would be anticipated to provide.
 - g) Describe the availability of the lead person(s) for consultation with NYSERDA, including but not limited to his or her ability to meet with NYSERDA staff in Albany, New York.

- h) Discuss fully any conflicts of interest, actual or perceived, that might arise in connection with your firm's involvement with NYSERDA. If conflicts do or might exist, describe how your firm would resolve them. State whether your firm represents any New York State energy public utility, public authority, or any independent power producer. If so, state the name of each such client and the nature of your representation.
- i) Identify any litigation or administrative proceedings to which you are a party and which would either materially impair your ability to perform the services enumerated herein and for which this RFP was issued or, if decided in an adverse manner, materially adversely affect the financial condition of your firm.
- j) Identify the employees discussed in (d) that have been the subject of any investigation or disciplinary action by the New York State Ethics Commission, the Commission on Public Integrity, the Temporary State Commission on Lobbying, or the State. Describe briefly how any matter was resolved or whether it remains unresolved. Proposers must certify that attorneys working on this account have never been reprimanded, censured, or suspended by the Supreme Court for ethics violations.
- k) Indicate the address of the office through which NYSERDA's account will be primarily serviced, and any anticipated travel or other such costs.
- l) Provide any other information you believe would make your law firm's representation of NYSERDA superior to other firms' representation.
- m) Provide an explanation of any changes you would request to the Attachment A - Sample Letter Agreement.
- n) Provide three client references, including name, address, e-mail and telephone number.
- o) If your firm is not MWBE-certified, describe your experience in subcontracting with such businesses. Explain your methodology for attracting and subcontracting with MWBE-certified businesses, and how you intend to meet NYSERDA's MWBE goals.
- p) Furnish information on the number and percentages of minorities and women among the partners and other attorneys of the firm, as well as para-professional and support staff; a copy of the firm's affirmative action or equal opportunity plan or other commitment to affirmative action and equal employment opportunity or its status as a minority or women-owned business; and an explanation of how your firm, if selected, would help NYSERDA further its policy of promoting participation of minorities and women in the provision of services to it.

5. **Cost.**

- a) State the rates at which the services of assigned personnel would be provided to NYSERDA beginning in fiscal year 2018-2019 *i.e.* Date of Award to October 1, 2019 and for NYSERDA fiscal years 2018-19; 2019-20 (April 1 through March 30), and how services would be billed. Increases, if any, for those years may be stated in terms of percentages above the rates for the fiscal year ending March 31, 2019. Include:
- i) For each person whose resume is provided in response to 4(e) above, your normal hourly rate and the hourly rate you propose to charge NYSERDA.
 - ii) For each applicable category of support staff or other assigned staff, the normal hourly rate and the hourly rate you propose to charge NYSERDA, if billed separately.
 - iii) Any reduced rates or fees charged to other State or local governments in New York for these types of services (including blended rates).
 - iv) A statement of the basis on which any other firm expenses related to services provided to NYSERDA would be billed, if other than cost.
 - v) A statement of any special considerations with respect to billing or payment of fees and expenses that your firm offers and that you believe would differentiate you from other proposers and make your firm's services more cost effective for NYSERDA.
 - vi) A statement whether you would be willing to agree to caps on fees on an issue by issue basis.
6. **Agreement.** Proposers should provide the retainer agreement their firm proposes to use if selected by NYSERDA under this RFP. The awarded proposer's retainer agreement will serve as the basis for negotiations between the parties and, when finalized, will be included as Exhibit A to the final agreement (see Sample Letter Agreement, attached hereto as Attachment A).

V. Proposal Evaluation and Selection Process

1. **Proposal Evaluation.** Proposals will be evaluated categorically. For each category of legal services in Section II. Scope of Services for which you wish to be considered, proposals meeting the RFP requirements will be evaluated using the following Evaluation Criteria.
- a) Experience in general representation of public entities, including representation of

New York State public benefit corporations or public authorities.

- b) Quality and depth of the firm's expertise and its prior capability in providing the legal services in Section II. Scope of Services it proposes to render for NYSERDA. For those firms who have worked in any capacity with NYSERDA, the quality of work on those transactions will be considered.
 - c) Anticipated cost of services and willingness to work with NYSERDA to minimize cost.
 - d) Commitment of time and resources to this account, and amenability to, and facility for, working with NYSERDA attorneys and staff in various capacities.
 - e) Information provided by client references.
 - f) Overall organization and quality of proposal, including cohesiveness, conciseness, and clarity of response.
 - g) The proposer is a NYS-certified Minority and Women-Owned Business.
 - h) The proposer does not have a conflict of interest in providing the particular legal service it proposes to provide, nor in the representation of NYSERDA as a state entity.
2. **Selection Process.** A Scoring Committee comprised of internal NYSERDA staff will review and evaluate proposals. 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.

VI. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501

<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 award(s) under this solicitation. NYSERDA anticipates contracts will have an end date of October 1, 2019, renewable for up to 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 in approximately 9 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.

NYSERDA also reserves the right to correct any arithmetic errors, to accept or reject any of the firm's employees assigned to provide services on this project and to require their replacement at any time, and to reject any proposal containing false or misleading statements or that provides references that do not support an attribute or a condition claimed by the proposer.

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

Attachment B: Article 15-A (MWBE) Provisions



Real Time Energy Management Qualified Vendor
Request for Qualifications (RFQ) 3691

**Applications accepted through January 4, 2021 at 5:00 PM Eastern
Time**

New York State Energy Research and Development Authority (“NYSERDA”) is accepting Applications from vendors, installers and service providers of Real Time Energy Management (“RTEM”) to become a RTEM Qualified Vendor. NYSEDA is seeking both installers (“RTEM System Providers”) and energy management consultants (“RTEM Service Providers”). Applicants can choose to apply to serve commercial, industrial, and multi-family facilities. NYSEDA offers the following benefits to RTEM Qualified Vendors:

- Access to RTEM project cost-share funding as available through Program Opportunity Notice (“PON”) 3689
- Access to Technical Guidance Documents (Commercial Sector)
 - Compiled using empirical data from projects identifying:
 - New technologies
 - Installation and maintenance strategies
 - Energy efficient savings
 - Non-energy benefits
- Promotional materials such as RTEM literature and advertising templates
- Publicity through NYSEDA’s website at www.nyserda.ny.gov, case studies and other materials, as available.

Application Submission: Applicants must submit an online RTEM Qualified Vendor Application via:

http://nyserda-site.force.com/CORE_CONAPP_Program_Page?programFamily=Commercial&programName=Commercial_Real_Time_Energy_Management

If you have questions concerning this solicitation, contact Michael Reed at rtem@nyserda.ny.gov.

Applications will be accepted on a continuous basis until January 4, 2021 at 5:00 PM Eastern Time. If changes are made to this solicitation, notification will be posted on NYSEDA’s website at www.nyserda.ny.gov.

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



Section I: Introduction

The NYSERDA RTEM effort promotes effective, energy-efficient solutions for commercial, multifamily, and industrial sites and processes for practitioners in the energy management software and services sector. NYSERDA hopes to demonstrate the value proposition of comprehensive monitoring and metering analytics, and how it provides building owners with system level energy usage data. These valuable insights can maximize energy performance, prevent operational stray, improve equipment/building optimization, and better inform capital investment recommendations. To accelerate the adoption of RTEM practices, NYSERDA is offering cost-shared support for integrating RTEM systems and services into existing buildings and facilities. This RFQ works in conjunction with NYSERDA PON 3689 Real Time Energy Management Program.

Within the Industrial sector, RTEM technologies are often referred to as Energy Management Information Systems (EMIS) – software systems that store, analyze, and display energy consumption data collected from sensors, equipment feeds, and meters. EMIS for the industrial market offers entities the means to monitor energy consumption data in real-time and to identify operational changes and capital projects that will increase efficiency. EMIS incorporate environmental and production variables for a more thorough, holistic analysis of efficiency opportunities than energy consumption data alone.

This solicitation is divided into the following components:

Section II: Eligibility Requirements

Section III: RTEM Qualified Vendor Requirements

Section IV: Application Process

Section V: Required Information

Section II: Eligibility Requirements

NYSERDA is seeking to qualify RTEM vendors, installers, and service providers that demonstrate the ability to meet the following RTEM Eligibility Requirements. Firms interested in applying to be on the NYSERDA RTEM Qualified Vendors List may include, but are not limited to: system providers, Energy Service Companies (ESCOs), energy consultants, and engineering companies. Firms must provide proof of potential, and demonstrate they can successfully provide customers with ways to monitor energy usage, provide optimization, and deliver energy efficiency services. Potential vendors will be evaluated qualitatively and quantitatively on past RTEM projects that have been implemented within 24 months of submitting to this RFQ. Potential vendors will be asked to specify if they are applying to serve commercial, industrial, multi-family or a combination thereof.

RTEM System Providers Eligibility Requirements

Proposes must demonstrate that they use a RTEM System meeting all of NYSERDA's requirements. RTEM Systems are defined as the monitoring hardware and software used to extract, process, and store energy usage data. The capabilities below will need to be validated firsthand by NYSERDA. This will be done using multiple methods, including, but not limited to, accessing a live system, witnessing operational capabilities, and document review. System validation will need to be conducted on a live data system, in the same fashion as it is intended for the system's users.



The proposed RTEM System must be capable of the following:

1. Energy consumption tracking
2. Energy performance analysis
3. System integration
4. External data integration
5. Reporting and data export
6. Data capacity
7. Interface capabilities
8. Networking capabilities

RTEM Service Providers Eligibility Requirements

Proposers must demonstrate that they can provide all of the RTEM Services as required by NYSERDA. RTEM Services are defined as consulting services that customers contract with to analyze energy usage data and provide, enable, and/or implement actionable items base on the data. RTEM Services does not refer to software as a service (SaaS). If RTEM Services use SaaS as a tool to provide, enable, and/or implement actionable items, and is incorporated into the contract, SaaS can be included in the RTEM project cost share. The capabilities below will need to be validated by NYSERDA. This will be done by reviewing current and past projects, project results of existing or past projects/portfolios.

1. RTEM site profiling and benchmarking
2. RTEM analytic and forecasting capabilities
3. RTEM evaluation and implementation

Section III: RTEM Qualified Vendor Responsibilities

1. RTEM Qualified Vendors are responsible for promoting the use of effective, energy-efficient products, services and designs, as defined by this RFQ.
2. RTEM Qualified Vendors are responsible for abiding by the terms and conditions in this RFQ.
3. RTEM Qualified Vendors are responsible for completing at least one approved project through the PON #3689 within one year of becoming a RTEM Qualified Vendor; and two approved projects per year thereafter to maintain active status as a NYSERDA RTEM qualified vendor. If the Qualified Vendor does not meet the minimum project responsibilities, their Qualified Vendor status will be suspended until they bring a project into the program.
4. If NYSERDA identifies an instance where these rules have not been followed, the Qualified Vendor is responsible for fully cooperating in any investigation of a possible violation. Failure to comply may result in the Qualified Vendor losing its active status.



NYSERDA

Becoming a Qualified Vendor is completely voluntary and NYSERDA can remove a Vendor from the list at any time for any reason. NYSERDA may revoke the status of the Qualified Vendor and remove them from the website if the Qualified Vendor does not meet all Program requirements. Vendors may also request to be removed from RTEM Qualified Vendor list.

Section IV: Application and Evaluation Process

To submit to this solicitation today:

1. Application: Applicants must submit an online RTEM Qualified Vendor Application via:
http://nyserda-site.force.com/CORE_CONAPP_Program_Page?programFamily=Commercial&programName=Commercial Real Time Energy Management

The Application will gather information on the capabilities of the RTEM system and/or RTEM services you are applying to provide and the preferred method for NYSERDA to verify the capability. Verification options include supplying NYSERDA with marketing and sales literature, operating manuals, screenshots, case studies, or live demonstrations depending on the capability being reviewed.

2. Interview: After review of the completed Application, NYSERDA will schedule an interview to discuss verifying the capabilities listed in the survey. The interview may take the form of a phone call, face-to-face meeting, webinar with remote viewing of the RTEM capabilities or all the above. The Applicant must be prepared to provide information on its RTEM capabilities. These capabilities will need to be validated firsthand by NYSERDA, including, but not limited to, accessing a live system, witnessing operational capabilities, and document review. System validation will need to be conducted on a live data system, in the same fashion as it is intended for the system's users.

Section V: Required Information

The following will also be reviewed at the scheduled interview:

Overview of Firm: The Applicant must provide a description of its organizational structure and the office(s) that serve RTEM systems and/or services to customers.

RTEM Project Examples: The Applicant must provide proof of capabilities through an RTEM Sample Project Report. If applicable, provide documentation of any RTEM related work performed in New York State. A minimum of two (2) RTEM projects must be submitted for review. The report shall demonstrate the quality of the Applicant's work, methodology, and results. It shall also show the various types of analyses and reports that are delivered to the customer. The associated scope of work and itemized budget must be included. The RTEM projects must have been completed within two years of Application submission date. The projects must include, but are not limited to, the following:



NYSERDA

- Description of RTEM systems
- Description of RTEM services
- Description of benefits and costs
- Description of realized energy savings
- Equipment specifications
- Installation lead time
- Customer contact information

NYSERDA may request additional materials as reasonably necessary to facilitate review.



**Standards and Quality Assurance Services
Request for Qualifications (RFQL) 3695**

Proposals Due: April 4, 2018 by 5:00 PM Eastern Time

Information regarding upcoming Bidders' Conferences can be found here: www.nyserda.ny.gov/rfq3695

The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to establish a pool of qualified service providers to develop and implement quality initiatives in support of several NYSERDA programs and clean energy technologies as outlined in the Clean Energy Fund including:

- Multifamily Performance Program for Market Rate and Low to Moderate Income sectors as outlined in the 2016 Clean Energy Fund (CEF) Resource Acquisition Transition Chapter and Low to Moderate Income Chapter;
- Ground Source Heat Pumps (GSHP) as outlined in the Renewable Heating & Cooling Chapter;
- Air Source Heat Pumps (ASHP), Advanced Rooftop Units (ARTUs) in the Clean Energy Product Chapter;
- Home Performance with ENERGY STAR as outlined in the Resource Acquisition Chapter; and
- Assisted Home Performance with ENERGY STAR / EmPower New York Program as outlined in the Low to Moderate Income Chapter.
- Energy Storage & On-Site Power
- Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

Qualified Proposers will work with the NYSERDA Standards and Quality Assurance team to conduct field inspection and desk review services, implement existing and upcoming standards (technical, installation, data and quality standards) and deliver market-based quality assurance solutions. Proposers qualified under this solicitation will be established as a "Quality Assurance Service Provider," (QASP), instrumental in helping NYSERDA make quality a competitive determinant to drive contractor performance, build consumer and investor confidence and accelerate adoption of clean energy solutions in New York.

Interested Proposers may submit their qualifications to support either one or both of the following Service Categories and may submit bids for multiple program/technology areas:

- 1) Service Category 1: Field Inspection and Desk Review Services (immediate work available)
- 2) Service Category 2: Technical Assistance and Standards Development Support Services (future work anticipated)

NYSERDA anticipates qualification of one or more Proposers for each Service Category.

Service Category 1: Field Inspection and Desk Review Services will be awarded by technology areas identified in this solicitation and will be contracted to support one (1) or more geographical regions. Awards for Service Category 1 are anticipated to be for one (1) year initially, with the option of up to four (4) annual renewals at NYSERDA's discretion.

Service Category 2: NYSERDA anticipates qualifying a pool of contractors to provide NYSERDA with diverse technical and inspection service experience within the technology areas listed in the solicitation.

Qualified Contractors will initially be awarded zero-dollar umbrella contracts for Service Category 1 and 2. Individual Task Work Orders (TWOs) will be assigned with a specified period of performance determined by NYSERDA based on the task requirements and final scope of work.

NYSERDA reserves the right to extend and/or add funding should other program funding sources become available. NYSERDA intends to periodically re-evaluate its qualified consultant pool and may reissue this RFQL to expand its qualified consultant pool on an annual or more frequent basis.

Informational Webinar

NYSERDA will conduct an **Informational Webinar** on **March 7, 2018, 2:00 p.m. – 3:00 p.m.** Eastern Time during which NYSERDA will review the requirements of this solicitation and answer questions. Proposers who intend to participate may send an email to <mailto:RFQL3695info@nyserda.ny.gov> with the subject line “RFQL 3695 Webinar” to request information on how to participate. Questions may be submitted via the same email address prior to the Webinar and Proposers will have the ability to type in questions during the webinar using the web platform. NYSERDA will post a Q&A document on the NYSERDA website following the Webinar. All questions will be posted anonymously, and NYSERDA’s written responses will supersede any responses given during the Webinar.

Proposal Submission: Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. All proposals must be received by NYSERDA by 5 PM on **April 4, 2018**.*

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>).

If you have technical questions concerning this solicitation, contact the following Project Managers (Designated Contacts):

- Andrew Van Gorder (Category 1: Multifamily / ASHP) at (518) 862-1090, ext. 3513, Andrew.VanGorder@nyserda.ny.gov
- Rick Sehein (Category 1: Residential / GSHP) at (518)-862-1090, ext. 3356, Rick.Sehein@nyserda.ny.gov
- Amy Kasson (All Category 2) at (518) 862-1090, ext. 3570, Amy.Kasson@nyserda.ny.gov

If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335, Nancy.Marucci@nyserda.ny.gov.

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

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

I. INTRODUCTION

NYSERDA's Clean Energy Fund (CEF)¹ is a core component of Governor Cuomo's Reforming the Energy Vision (REV), designed to achieve a clean, resilient and affordable energy system for all New Yorkers. The CEF reduces the cost of clean energy by accelerating adoption of energy efficiency to reduce load while increasing renewable energy to meet demand. NYSERDA's filings² are designed to complement the related initiatives championed by New York State, including the New York State Public Service Commission's REV regulatory proceeding³ and its Clean Energy Standard proceeding.⁴

NYSERDA has designed the CEF to pursue three long-term outcomes: thriving and self-sustaining clean energy industries able to operate without subsidies; greater levels of private capital invested in clean energy and jobs in New York; and significant reductions in greenhouse gas (GHG) emissions from the state's energy sector. NYSERDA's new program approaches are intended to enable NYSERDA to achieve the high-level State policy goals identified in the 2015 State Energy Plan including GHG reduction, energy efficiency, generation through renewable sources, and expansion of the clean energy economy.

II. QUALITY OVERVIEW

Background: NYSERDA's quality services are designed to help ensure the integrity of the programs funded by NYSERDA. NYSERDA has supported, and will continue to support, third-party field inspection and desk review services necessary to assess contractor performance and identify corrective action needed to ensure projected performance and longevity of clean energy technologies and services. These inspection services are currently provided at no cost to New York participants for several legacy programs including, but not limited to, NY-Sun Residential/Small Commercial Program, NY-Sun Commercial/Industrial Program, Home Performance with ENERGY STAR®, EmPower New York and the Multifamily Performance Program.

NYSERDA seeks to competitively select Quality Assurance Service Providers to provide quality services to the technology areas identified in Category 1. NYSERDA intends to establish an additional pool of companies with expertise in the technology areas identified in Category 2, to provide quality services on a Task Work Order basis as new Programs are implemented and as services are needed. NYSERDA will re-evaluate the Quality Assurance Services Providers qualified under this solicitation on a frequent basis and may re-issue this solicitation in whole or in part, as needed.

Data Systems: Quality Assurance Service Providers qualified under Category 1 will use NYSERDA's quality data systems to manage inspection related activities including, but not limited to, scheduling, field data collection, photo review data collection, corrective action tracking and reporting functions for the following program areas:

- Home Performance with ENERGY STAR

¹ Case 14-M-0094 - Proceeding on Motion of the Commission to Consider a Clean Energy Fund; Case 10-M-0457 – In the Matter of the System Benefits Charge IV; Case 07-M-0548 – Proceeding on Motion of the Commission Regarding an Energy Efficiency Portfolio Standard; Case 03-E-0188 – Proceeding on Motion of the Commission Regarding a Retail Renewable Portfolio Standard; Case 13-M-0412 – Petition of the New York State Energy Research and Development Authority to Provide Initial Capitalization for the New York Green Bank. *Order Authorizing the Clean Energy Fund Framework*, issued and effective January 21, 2016.

² As of January 22, 2017, NYSERDA had launched several programs outlined in earlier filing of the [Resource Acquisition Transition Chapter](#) of its Clean Energy Fund Investment Plan; additional chapters describing further interventions will follow during 2017.

³ Case 14-M-0101 – Proceeding on Motion of the Commission in Regard to Reforming the Energy Vision. *Order Adopting Regulatory Policy Framework and Implementation Plan*, issued and effective February 25, 2015.

⁴ Case 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard.

- Assisted Home Performance with ENERGY STAR
- EmPower New York Program
- Renewable Heating and Cooling - Ground Source Heat Pumps

The following Technology areas are not currently set up in NYSERDA’s data systems and QA functions will be managed by the QASPs using MS Excel or another format acceptable to NYSERDA.

- Clean Energy Products – Air Source Heat Pumps and Advanced Roof-Top Units
- Multifamily Performance Program

Category 1: Field Inspection and Desk Review Services: NYSERDA seeks to competitively select qualified service providers to continue inspection services or commence new field/photo inspection services for recently approved programs and assist with standards and quality methods development, as needed for the following technology areas:

- Multifamily Buildings (5+ unit buildings)
 - Clean Energy Products – Air Source Heat Pumps and Advanced Roof Top Units
 - Multifamily Performance Program
 - Market Rate
 - Low-Income
- Renewable Heating and Cooling Technologies – Ground Source Heat Pumps
- Residential – Single Family (1-4 units)
 - Home Performance Programs
 - Home Performance with ENERGY STAR Program
 - Assisted Home Performance with ENERGY STAR Program
 - EmPower New York Program
 - Clean Energy Products – Air Source Heat Pumps
- Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

Category 2: Technical Assistance and Standards Development Support Services: NYSERDA seeks to qualify one or more companies who have expertise in the following technology areas to assist with standards and quality methods development. Further information regarding these technology areas can be found in Appendix 2 – Technology Descriptions.

- Energy Storage & On-Site Power
- Renewable Heating and Cooling
- Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

Anticipated Volume of Work and Geographic Coverage for Service Category 1: There are two (2) geographic regions outlined in **Appendix 1: Regional Map and Inspection Estimates that are applicable to work for Category One.**

Field Inspection Checklists: Work conducted under Service Category 1 will require the use of inspection checklists that outline the qualitative and quantitative data to be collected for each Technology Area outlined in **Appendix 2: Technology Descriptions.** The time to complete field and photo desk reviews varies by technology area and comprehensiveness of work-scope. Potential bidders should carefully consider the total amount of time required to schedule, travel to inspections, complete inspections and produce reports. Proposers should review **Appendix 3: Field Inspection and Desk Review Checklists,** giving attention to each Technology Area of interest.

Reporting: NYSERDA has developed report templates and standard scoring criteria to assist in the creation and issuance of reports to participating contractors. The Ground Source Heat Pump program, Home Performance with ENERGY STAR, Assisted Home Performance with ENERGY STAR and EmPower NY Program will use NYSERDA’s centralized QA module and reports will automatically be generated based on inspection data recorded. The QA Contractor will be responsible for producing field and photo inspection reports for all other Technology areas as the QA inspection process has not yet been incorporated into our data system, see **Appendix 4: Sample Reports**.

III. SERVICES REQUESTED

A. Overview

NYSERDA seeks to qualify pools of Quality Assurance Service Providers by the groupings identified who have expertise in the technology areas identified in Appendix 2: Technology Areas and who have interest in providing quality services under one or more Service Category areas outlined in this RFQL.

Funding will be allocated through individual Task Work Orders (TWOs) to qualified Proposers as assigned by NYSERDA. NYSERDA reserves the right to determine the service period, funding level, and specific tasks to be included in all TWO(s) issued to qualified Proposers.

All Proposers qualified through this RFQL will enter into zero-dollar value Umbrella Agreements enabling NYSERDA to retain their services for the Technology Area(s) and Service Category(ies) in which they have been qualified. In all cases, standard inspection rates and hourly rates to implement any TWO shall be consistent with those in the general Umbrella Agreement and must be reviewed and approved by NYSERDA before implementation.

B. Service Category 1: Field Inspections and Desk Review Services

Proposers with expertise in delivering field inspections and desk reviews, and who possess the required professional credentials, knowledge of energy efficiency, renewable energy, building science, applicable New York State code, and industry-recognized quality protocols will be considered for qualification.

Successful Proposals. Awards under this Service Category will result in measurable reductions in energy use and carbon emissions in relevant Programs. A successful proposal will include qualifications and experience that will:

- Promote quality resulting in measurable reductions in energy use and carbon emissions;
- Drive down the cost of Program expenditures needed to achieve a unit of energy savings or carbon reduction;
- Increase consumer confidence in clean energy projects and equipment purchases.

Specific areas subject to Proposer qualifications by Technology Area are defined below.

The projected number of inspections required by region are presented in **Appendix 1: Regional Map and Inspection Estimates**.

Proposers must submit bids for ALL “Inspection Types” as outlined in **Table 2** below using **Attachment B-1: Bid and Rate Sheet**. Proposals that do not have a bid price specified for each Inspection Type will not be considered.

Inspection services may include non-standard inspections involving post inspection follow-up, administrative or field inspections of flagged projects, and other requested activities at NYSERDA's discretion. All potential non-standard inspections will be identified by NYSERDA or the respective Program Implementer, and NYSERDA will approve the preliminary work scope and notify the Quality Assurance Service Provider. NYSERDA will then work with the provider to revise the work scope, if necessary, determine the budget, and schedule the specified work. The Quality Assurance Service Provider and NYSERDA shall agree to a final work scope and total cost in writing, and no work shall commence without written approval from the NYSERDA Project Manager.

Technology Areas

- Multifamily Buildings (5+ unit buildings)
 - Multifamily Performance Program
 - Market Rate
 - Low-Income
 - Proposers qualified under this solicitation will serve both market sectors (Market Rate and Low-to-Moderate Income) by providing Field Inspections and Desk Reviews of in-progress and completed projects
 - Clean Energy Products – Air Source Heat Pumps and Advanced Roof Top Units
 - Field Inspections and Desk Reviews of completed projects for the Clean Energy Products Program will transition to the newly qualified Proposer(s) selected under this RFQL as soon as possible upon award.
- Renewable Heating and Cooling Technologies – Ground Source Heat Pumps
 - It is anticipated that Field Inspections and Desk Reviews for the Ground Source Heat Pump Program will transition to the newly qualified Proposer(s) under this RFQL as soon as possible upon award. Inspection services will be conducted for in-progress and completed projects
- Residential – Single Family (1-4 units)
 - Home Performance Programs
 - Home Performance with ENERGY STAR Program
 - Assisted Home Performance with ENERGY STAR Program
 - EmPower New York Program
 - Proposers qualified under this solicitation will serve both market sectors (Market Rate and Low-to-Moderate Income) by providing Field Inspections of completed projects.
 - Clean Energy Products – Air Source Heat Pumps and Advanced Roof Top Units
 - Field Inspections and Desk Reviews of completed projects for the Clean Energy Products Program will transition to the newly qualified Proposer(s) selected under this RFQL as soon as possible upon award.
- Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction
 - Field Inspections and Desk Reviews for Energy Efficiency, Renewable Energy and/or Demand Reduction of completed projects.

NYSERDA anticipates qualifying one or more Proposers for each Technology Area. These services may be separately awarded for one or more geographical regions (see **Appendix 1: Regional Map and Inspection Estimates**). TWOs for this Service Category will be assigned to a specific Region. When NYSERDA identifies a TWO need under one of these Technology areas the process for selecting a qualified contractor from those that are qualified under this RFQL include:

- TWOs for less than \$200,000 will be assigned to the qualified provider in the Region for that Technology Area who proposes the lowest cost in their proposal.
- TWOs for greater than \$200,000 will be mini-bid to all qualified providers in the Region for that Technology Area.
- If the top ranked qualified Proposer for a given Region is unable or unwilling to cost-effectively fulfill the requirements of the TWO within the required timeframe, NYSERDA will issue, in whole or in part, at NYSERDA's discretion, a TWO to the next ranked qualified Proposer for the Region and designated Technology Area.

NYSERDA strongly encourages proposals from firms with employees located within the identified geographic regions that have the requisite technical skill set and field experience. Proposals that do not include regionally located staff must demonstrate the ability to deliver cost-effective and responsive services to the region.

Awards for Service Category 1: Field Inspection and Desk Review Services are anticipated to be for one year, with the option of up to four (4) annual renewals at NYSERDA's discretion. NYSERDA reserves the right to extend and/or add funding should other program funding sources become available.

C. Service Category 2: Technical Assistance and Standards Development Support Services

NYSERDA seeks to qualify firms who can assist in transitioning toward market-based quality assurance strategies and researching and recommending the application of existing standards and quality methods to help accelerate market adoption of energy storage, on-site power, energy efficiency and renewable energy technologies. This transition will focus on understanding the needs of prospective consumers, implementing standards for the design, installation and operation of clean energy technologies, workforce credentialing and company accreditation, and sharing quality and performance data with stakeholders. It is anticipated that market-based strategies will highlight the work of high-performing providers, promote competition, increase consumer and investor confidence, encourage investment in high impact practices and technologies and encourage growth in the clean energy sector.

A successful proposal will include qualifications and experience that will:

- Demonstrate the knowledge and skills necessary to leverage quality interventions to advance the goals of the State Energy Plan / Clean Energy Fund / REV, improving resilience and reducing greenhouse gas emissions;
- Demonstrate how the market-based quality strategy can be replicated in New York State to achieve goals of the Clean Energy Fund and REV;
- Have the resources (human and financial) to involve industry, regional and national stakeholders, and consumers to achieve quality goals;
- Promote quality protocols resulting in measurable reductions in energy use and carbon emissions.

Specific areas of interest subject to Proposer qualifications by Technology Area are defined below and outlined in Appendix 2: Technology Areas.

NYSERDA anticipates qualifying a pool of contractors for each Technology Area listed below to provide NYSERDA with diverse technical and inspection service experience.

- Energy Storage & On-Site Power
- Renewable Heating and Cooling

- Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

When NYSERDA identifies a TWO need under one of these Technology areas the process options for selecting a qualified contractor from those that are qualified under this RFQL include:

- Selecting the highest ranked firm in the technology area NYSERDA is seeking services for;
- Issuing a mini-bid to all the firms in the technology area using evaluation criteria as established for the specific set of services requested; or,
- Selecting any contractor in the technology area for projects with a funding amount of \$50,000 or less;

The specific services and service period awarded to a qualified Proposer will depend on NYSERDA needs and the Proposer’s expertise, rates, staff availability, responsiveness, and overall performance during the service period. Deliverables and schedule for each TWO will be established at the time of issuance.

Activities funded may include, but not be limited to, successfully implement quality assurance methods, data standards, technical and installation standards, professional certifications, and company accreditation as needed to build consumer and investor confidence. Specific tasks may include, but not be limited to, research current and upcoming standards and methods applicable to the clean energy sector, recommend quality strategies for specific markets, in-field measurement and verification of applied technical and installation standards, development and deployment of contractor performance ratings, development of quality score cards, Pareto⁵ analysis, and overall support for new market-based quality assurance strategies.

V. QUALIFICATIONS

A. General Eligibility Requirements

All Proposers, regardless of the Service Category, must possess the following minimum qualifications:

- Understanding of goals and objectives of the Clean Energy Fund and NYSERDA’s mission
- Exceptional communication skills and ability to manage conflict
- Demonstrated expertise in appropriate energy efficiency and renewable energy technologies
- Computer software proficiency in MS Excel, MS Access, MS PowerPoint, MS Word, etc.

B. Eligibility Requirements by Service Category and Technology Area

The required professional credentials by Service Category and Technology Area are listed below. Where required, the Proposer must have at least one or more staff members with the designated professional credential. Proposer may highlight staff with preferred additional professional qualifications to enhance the proposal.

Service Category 1: Field Inspection and Desk Review

In addition to the minimum general eligibility requirements listed above, Proposers responding to Service Category 1 must possess the specified required professional credentials outlined below by Technology Area and identify such credentials held by proposed staff in **Attachment A: Qualifications Matrix**.

Proposals that do not include staff that collectively meet the general eligibility requirements and required professional credentials for the proposed Program/Technology Area as outlined below will not be reviewed by the scoring committee.

⁵Pareto Analysis – Bar graph where the lengths of the bars represent frequency, and are arranged with longest bars on the left and the shortest to the right to visually depicts more significant defect occurrences. Excerpted from Nancy R. Tague’s [The Quality Toolbox](#), Second Edition, ASQ Quality Press, 2005, pages 376-378.

Multifamily Performance Program

Recommended (not required) Professional Credentials

- Investor Confidence Project (ICP) Project Developer or ICP QA Provider
- BPI Multifamily Building Analyst
- BPI Multifamily Building Operator

Air Source Heat Pump

Required Professional Credentials

- Certified, BPI or NATE, ASHP Installer OR Professional Engineer (PE)
- Three (3) or more years of experience installing, designing and/or inspecting air source heat pump systems.
- BPI QC Inspector

Ground Source Heat Pump

Required Professional Credentials

- Certified IGSHPA Inspectors
- Three (3) or more years of experience installing, designing and/or inspecting ground source heat pump systems.

Preferred additional Professional Qualifications

- Professional Engineer (PE)

Residential – Single Family Home Performance (1-4 units)

Required Professional Credentials

- BPI Building Analyst, OR BPI Energy Auditor
- BPI Envelope Professional
- BPI Heating
- BPI Air Conditioning and Heat Pump
- BPI Manufactured Housing

Preferred additional Professional Qualifications

- BPI Quality Control Inspector
- BPI Healthy Home Evaluator
- BPI Rater
- RESNET Home Energy Rater

Service Category 2: Technical Assistance and Standards Development Support Services

In addition to the minimum general eligibility requirements Proposers responding to Service Category 2 are encouraged to identify professional credentials for proposed staff in **Attachment A: Qualifications Matrix**, and are required to describe relevant staff experience in the Personnel Qualifications section of the Proposal.

Several broad areas of NYSERDA interest regarding Proposer qualifications for Service Category 2 are generally defined below:

- **Quality Methods** – Make recommendations to promote efficient markets by increasing confidence in clean energy technologies and services in New York State.

- **Market-Based QA Strategies** - Market-based quality assurance strategies will be developed, deployed and supported through awards under this solicitation in partnership with NYSERDA. Activities may include researching consumer needs, implementing standards and workforce credentialing, standardizing data sets to more readily share performance data, promoting competition among clean energy providers by publicly sharing key quality and performance attributes (energy saved per square foot, realization rate (actual savings/estimated savings), health and safety, responsiveness, customer satisfaction) anticipated to help drive consumer choice and build consumer confidence.
- **Data Standards** – The U.S. Department of Energy (DOE) and other stakeholders have supported the development of consensus industry data standards to enable state governments, customers, utilities, financiers, clean energy companies, entrepreneurs, and other stakeholders to exchange energy and quality data. Below is an example of interest relative to data standards:

Example: Data for solar energy system performance and electricity production is widely used throughout the industry by developers, utilities, consumers, and financial institutions. The Orange ButtonSM initiative was launched in 2016 to increase solar market transparency and fair pricing by establishing data standards for the industry. Solar data sets currently provided under OpenNY, aligned with such data standards, could be further offered through accessible, self-sustaining, industry-regulated data marketplaces to improve the ability of apps, software, and other websites to store and use energy data for the solar industry. These data marketplaces will in turn help industry more rapidly share quality data resulting in the competitive benefits of lower cost and better performance.

- **Technical Standards** – Building science and technology-specific technical standards, including, but not limited to, standards developed by the following entities listed in alphabetical order: Air Conditioning Contractors of American (ACCA), Association of Energy Engineers (AEE), American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE), Building Commissioning Association (BCA), Building Performance Institute (BPI), International Ground Source Heat Pump Association (IGSHPA), Passive House, Residential Energy Services Network (RESNET), U.S. Green Building Council (USGBC) Leadership in Energy and Environmental Design (LEED), and others.
- **Installation Standards** – Technology-specific standards for the design, installation and operation of energy efficiency and renewable energy technologies including, but not limited to: air-source heat pumps, ground source heat pumps, air sealing and insulation, small wind, fuel cells, combined heat and power, anaerobic digesters, home energy monitoring, and real-time energy management systems.
- **Workforce Certification and Company Accreditation** – Professional credentials related to the proper sizing, installation and operation of energy efficiency and renewable energy technologies and related auditing, commissioning and quality control processes. Professional credentials are available through several organizations including, but not limited to, ACCA, AEE, BCA, BPI, International Ground Source Heat Pump Association (IGSHPA), North American Board of Certified Energy Practitioners (NABCEP), Passive House, RESNET, Underwriter Laboratories (UL), and others.

VI. CONTRACTUAL ARRANGEMENT AND RESPONSIBILITY

A. Umbrella Agreement

All Proposers qualified through this RFQL will enter into zero-dollar value Umbrella Agreements enabling NYSERDA to retain their services for the Technology Area(s) and Service Area(s) in which they have been qualified. This Umbrella Agreement will not guarantee any specific amount of work. The amount of work and funding subsequently assigned to each Quality Assurance Service Provider via separate TWO(s) will depend on expertise, the amount of work required, past performance, current workload and deadline requirements.

The term of retention for each qualified Quality Assurance Service Provider is up to five years at NYSERDA's discretion.

B. Task Work Orders

Service Category 1: Field Inspections and Desk Reviews

Proposers qualified through this RFQL to conduct field inspections and photo reviews will be assigned work by Technology Area and Region through separate written TWO(s) as outlined in **Attachment C: Scope of Work for Field Inspection Services**, which will become part of the binding Umbrella agreement between NYSERDA and the Quality Assurance Service Provider.

These TWO(s) may be revised to include a more recent estimated number of projects subject to inspection, regional considerations, and other pertinent information needed to manage inspection activities.

In all cases, standard inspection rates and hourly rates to implement any TWO shall be consistent with those in the general Umbrella Agreement and must be reviewed and approved by NYSERDA before implementation.

Service Category 2: Technical Assistance and Standards Development Support Services

Proposers qualified through this RFQL to provide technical assistance and standards development support services will be assigned work only for the Technology Area for which they are qualified. Projects will be assigned through separate written TWO(s), which will become binding agreements between NYSERDA and the consultant qualified to perform the work.

TWO requests issued by NYSERDA may be fully developed by NYSERDA or may require the qualified consultant(s) to develop a proposed work scope and other key components of the TWO. Fully developed TWO requests issued by NYSERDA shall include a detailed work scope, description of the deliverables required, schedule and budget. Typically, these TWOs will be implemented according to the TWO requests as defined by NYSERDA.

In other cases, TWO requests shall include a description of NYSERDA's needs, but will require a response from the qualified consultant(s) on the specific methods, deliverables, schedule and budget to implement the work. Consultant responses to these types of TWO requests may include, but not be limited to:

- Goals and objectives of the project
- Approach that will be taken outlined by tasks
- Identification of measures and ability to track project success
- Any relevant background information
- Defined deliverables
- Communication plan to facilitate information sharing with NYSERDA (e.g., weekly meetings, status reports, etc.)
- Project schedule
- Names and titles of individuals to work on the project
- Total not-to-exceed cost of the project, including a breakout by task and by title, hourly rate, hours, and non-labor costs

**Note: NYSERDA will not reimburse the purchase or rental of tools, equipment, training.*

At NYSERDA's discretion, mini-bid requests may be issued to all qualified providers in a specified Technology Area. These requests will likely include the outline of the scope and deliverables, regional considerations, and other pertinent information needed to develop a sound proposal. Each mini-bid request will require a detailed response from the qualified providers. Mini-bids will be reviewed by NYSERDA and a provider will be selected to implement the TWO.

If, following proposal review, but before implementing the TWO, the selected provider is unable to implement the work due to workload, expertise or other similar factor, NYSERDA may select the second-ranked provider to implement the work.

The details of these TWO responses will be consistent with the level of complexity of the proposed project or activity and determined in consultation with NYSERDA, but are anticipated to be one to five pages in length. In limited circumstances, during the development of a work scope, NYSERDA may consider partnering and teaming arrangements between qualified consultants and other expert entities as necessary. **NYSERDA will not reimburse providers for the cost of preparing TWOs.**

In all cases, hourly rates to implement any TWO shall be consistent with those in the general Umbrella Agreement. NYSERDA must review and approve all TWO(s) before implementation.

C. Contractor Responsibility

Upon selection through this RFQL and upon agreement and approval of any TWO(s), the qualified Proposer shall be responsible for the following:

- Demonstrating value-added, timely completion of TWOs that align with the requirements and qualifications described in in **Section III: Range of Services** and **Section V: Specific Services Requested**
- Keeping NYSERDA informed regularly on the progress of assigned work, including meeting with NYSERDA staff on a periodic basis, as needed
- Submitting deliverables to NYSERDA for review and approval in accordance with the timeline outlined in the TWO
- Providing required documentation of expenditures by task when seeking reimbursement
- Ensuring the effort is based on the following principles:
 - Objectivity, fairness, and balance in terms of the types of data collected; only those data deemed necessary for quality assessment shall be collected and reported
 - Sound methodology, credible data and analysis, adherence to professional standards

D. NYSERDA's Responsibility

Designated NYSERDA project managers will be responsible for overseeing and managing TWOs undertaken by qualified Proposers, including but not limited to reviewing, commenting and approving tasks and subsequent deliverables; coordinating with program staff and interested external stakeholders; promoting coordination among service providers qualified for each Service Area and across all Technology areas, as appropriate; assisting in the presentation and dissemination of findings; and reviewing and approving invoices promptly.

VII. PROPOSAL REQUIREMENTS

All Proposals should be responsive to the range of services presented in **Section III: Range of Services** and **Section V: Specific Services Requested** as relevant to the Program/Technology Area proposed.

Proposal Format

Each proposal shall contain, at a minimum, the components listed below. Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal and should not be included. Each page of the proposal should state the name of the Proposer, RFQL 3695 and the page number. Proposals may be either single- or double-sided, but a page is considered one side of an 8-1/2" x 11" piece of paper. The font size shall not be smaller than 11 point.

1) Cover Letter (1 page)

Proposers shall submit a cover letter on company letterhead that:

- References RFQL 3695
- Specifies each specific Service Category(ies) and Technology Area(s) proposed
- Summarizes the Proposer's ability to perform such services
- Is signed by a person with authority to enter into a contract with NYSERDA

2) Table of Contents (1 page)

Proposers should present a table of contents that outlines the section and page number for each Service Category and Technology Area proposed. Proposals will be evaluated and scored separately for each Service Category and Technology Area, therefore they must be organized with a separate section for each Service Category and Technology Area.

a. Proposals that are not submitted electronically must include the following:

- Attachment A - Proposal Checklist
- Attachment B - Disclosure of Prior Findings of Non- responsibility

b. **Service Category 1 Proposals: Field Inspection and Desk Review** shall be organized with a separate section for each Technology Area (i.e. Proposers may respond to one or more Technology Areas). Each section must include the items listed below, regardless of whether they have been presented in another section:

- Attachment A: Qualifications Matrix
- Attachment B-1: Bid and Rate Sheet
- Attachment C: Scope of Work for Field Inspection Services (show all exceptions, if any)
- Overall Experience and Capabilities
- Personnel Qualifications
- Cost Proposal

c. **Service Category 2 Proposals: Technical Assistance and Standards Development Support Services** shall be organized by the Technology Area outlined in Section II – Category 2 of the solicitation (i.e. Proposers may respond to one or more Technology Areas). Each section must include the items listed below, regardless of whether they have been presented in another section:

- Attachment A – Qualifications Matrix
- Attachment B-2: Project Personnel and Rates Form
- Overall Experience and Capabilities
- Personnel Qualifications
- Cost Proposal

3) Overall Experience and Capabilities (2-4 pages)

For each proposed Technology Area, Proposers must describe their expertise and ability to deliver services. This should include the aggregate number of years working in this area and a summary of at least one, and no more than three, similar award(s). These summaries must also include the cost of the award, description of the deliverables, project references and should be no more than one page in length. Firms with NYSERDA experience must identify a NYSERDA staff reference for those projects.

4) Personnel Qualifications (1-3 pages; résumés may be placed in an appendix and are not included in this page limit)

For each proposed Technology Area, Proposers must indicate the relevant qualifications for proposed personnel using **Attachment A: Qualifications Matrix**. Proposers must also identify the project manager within their firm who will serve as the single point of contact as well as all personnel to be involved with providing services under this RFQL and their roles. Proposers must describe the accomplishments, experiences, and expertise of all individuals comprising the proposal. Proposers must include one-page résumés that highlight recent experience of all individuals who will be directly involved in providing services. These may be compiled in an appendix to the proposal.

5) Cost Proposal (1 page) Proposers must provide a cost proposal per the requirements for Service Category 1 and 2 only.

- **Service Category 1: Field Inspection and Desk Review** – Proposers must complete **Attachment B-1: Bid and Rate Sheet** for each proposed Technology Area. The worksheet requires submission of a total cost per Inspection Type. To aid in determining total cost per inspection, NYSERDA has provided a list of qualitative and quantitative data collected during a standard field inspection for various Technology Areas in **Appendix 3: Field Inspection and Desk Review Checklists**.

The cost proposal section for Service Category 1 should include all assumptions and calculations (detailed cost breakdown) for all bids entered by Inspection Type. The total bid price shall include all administrative, travel and other expenses incurred in carrying out the standard inspection requirements of this solicitation. It is expected that all inspection costs including, scheduling, project information gathering, project documentation analysis, travel, field data collection, inspection reporting, management oversight and approvals and routine contract status meetings with NYSERDA are included in the proposed total cost per inspection.

Proposers must agree to the tasks defined in **Attachment C: Scope of Work for Inspection Services**, as these requirements will serve as the Statement of Work under the TWO for awards granted under the Field Inspection and Desk Review service area. Any exception must be stated clearly in the Proposal (electronic submission of redlined version of **Attachment C** is acceptable).

Note: Any escalation rates must be identified for up to a three-year contract term.

- **Service Category 2: Technical Assistance and Standards Development Support Services** - Proposers must complete **Attachment B-2: Project Personnel and Rates Form** for each proposed Technology Area. Proposers must submit the name, title, and fully-burdened hourly salary range for everyone in the proposal who will perform the work as outlined in the respective section of this solicitation (**Section III: Range of Services** and **Section V: Specific Services Requested**).

NYSERDA is not requiring Proposers to estimate travel or other direct costs as part of proposals for this Service Category, but will allow for reasonable cost reimbursement for these direct costs as defined in

the TWOs on an as needed basis. However, NYSERDA will not reimburse the purchase or rental of measurement tools and equipment or training and certification of staff.

Note: Any escalation rates must be identified for up to a five-year contract term.

6) Submittal

To be eligible for selection under this RFQL, Proposers must submit a complete bid package and agree to the terms and requirements of this RFQL. Proposers will not be reimbursed by NYSERDA for costs associated with the preparation of their proposals. All Proposals submitted under this solicitation become the property of NYSERDA.

Proposers may submit electronically per the requirements outlined on page 2 of this RFQL and described in **Attachment D: Instructions for Electronic Proposal Submission**, or must submit two paper copies of their proposal with a completed and signed Proposal Checklist (**Attachment A**), along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal to the attention of Venice Forbes at the address on the front of this RFQL.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), the following forms must be completed and filed with paper submission proposals: (1) a signed copy of the Proposal Checklist (**Attachment A**) including required certifications under the State Finance Law which should be attached as the front cover of your proposal and one must contain an original signature and (2) a completed Disclosure of Prior Findings of Non-Responsibility form (**Attachment B**). Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

VIII. PROPOSAL EVALUATION

A. Evaluation Process

Proposals that meet the requirements described in Section VIII. Proposal Requirements of this RFQL, and where proposed staff meet the general eligibility requirements described in Section VI: Qualifications, Section A, will be reviewed by a scoring committee consisting of NYSERDA staff and selected outside reviewer(s).

B. Proposal Evaluation for Service Category 1: Field Inspection and Desk Review

Proposals for this Service Category must include staff that collectively hold the required professional credentials for the proposed Technology Area as outlined in Section VI: Qualifications, Section B. Proposals that do not meet these requirements will be deemed non-responsive and will not be considered.

The scoring committee will evaluate all qualified Proposals for Service Category 1 separate from those proposed under Service Category 2. Each proposal section (by Technology Area) will be scored and ranked independent from other Technology Areas.

Total Points	Evaluation Component
25 Points	A: Responsiveness to the Solicitation <ul style="list-style-type: none"> • The proposer clearly demonstrated an understanding of the major objectives of the RFQ.

	<ul style="list-style-type: none"> • Proposer thoroughly read the RFQ and executed all Proposal Requirements fully; • Proposal itself was well written and comprehensive; • Proposal included a detailed cost break-down for inspection bid; • Indicates agreement with Attachment C: Scope of Work for Field Inspection Services, or clearly indicates any exceptions.
25 Points	<p>B: Ability to Serve Region(s) Proposed</p> <ul style="list-style-type: none"> • Staff are regionally located to support the region(s) proposed, or a plan has been provided to ensure qualified staff by commencement of an award; • Excellent individual and combined experience, qualifications, and expertise; • A well-developed staffing plan including a clear description of the roles and responsibilities of each staff member; • Skills and experience of the primary contact well-aligned with RFQ.
50 Points	<p>C: Relevant Experience and Qualifications</p> <ul style="list-style-type: none"> • Examples demonstrate experience conducting project inspections in Technology area proposed; • Examples demonstrate operational excellence and industry expertise; • Examples are consistent with the proposed execution strategy; • Project personnel has the experience, expertise, skill and credentials (as applicable) to deliver required services; • The project personnel involved in the example(s) are included in the proposed staffing plan; • Resounding testimonials.

C. Proposal Evaluation for Service Category 2: Technical Assistance and Standards Development Support Services

The scoring committee will evaluate all Proposals for Service Category 2 separate from those proposed under Service Category 1. Each proposal Section (by Technology Area) will be scored and ranked independent from other Technology Areas.

Total Points	Evaluation Component
25 Points	<p>A: Responsiveness to the Solicitation</p> <ul style="list-style-type: none"> • The proposer clearly demonstrated an understanding of the major objectives of the RFQ; • The proposer demonstrated an understanding of the potential impact and benefit of implementing appropriate standards and market-based quality solutions to achieve goals; • Proposer thoroughly read the RFQ and executed all Proposal Requirements fully; • Proposal itself was well written and comprehensive.

25 Points	<p>B: Ability to Serve New York State as Proposed</p> <ul style="list-style-type: none"> • Staff plan and organizational chart is clear, well defined, and demonstrates an ability to be responsive to the needs of the solicitation; • Proposed staff are located to support NYS, or there is a clear plan to ensure qualified staff by commencement of an award; • Excellent individual and combined experience, qualifications, and expertise; • Skills and experience of the primary contact well-aligned with RFQ.
25 Points	<p>C: Relevant Experience and Qualifications</p> <ul style="list-style-type: none"> • Examples demonstrate experience working in Technology area proposed; • Examples demonstrate operational excellence and industry expertise; • Project personnel has the experience, expertise, skill and credentials (as applicable) to deliver required services; • The project personnel involved in the example(s) are included in the proposed staffing plan; • Resounding testimonials.
25 Points	<p>D: Cost</p> <ul style="list-style-type: none"> • Proposed compensation demonstrated excellent cost-effectiveness while providing high quality services; • Relative competitiveness of fully-burdened rates and proposed escalation rates (if any); • Relative value of the proposed experience and benefit to the programs was excellent.

Conflicts: The firm and any personnel of the firm must be free from any financial or similar interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA. Please describe all your product, manufacturer or service-related affiliations. If any affiliations exist, you must provide a statement verifying that these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA and its customers. Non-disclosure of any affiliation can result in the termination of a contract, if awarded.

Proposers may not act as both the Program Implementer and Quality Assurance Service Provider for a given Technology area, but shall not be precluded from bidding on other Technology areas described within this RFQL or on future Standards and Quality Assurance solicitations. However, Proposers should describe within their proposals how conflicts of interest, both actual and perceived, will be resolved should you choose to bid on other NYSERDA solicitations.

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

- The degree to which there is statewide coverage for field inspection services to best achieve the overall goals and objectives of the Program.

- The degree to which the applicant has the resources (human and financial) to be able to complete the project
- The degree to which the applicant has successfully supported previous NYSERDA initiatives

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.

IX. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of

\$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).

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

Contract Award - NYSERDA anticipates qualifying multiple consultants within each Program/Technology Area, and may make regional awards for inspection services under Service Category 1. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications during the proposal review process. NYSERDA will use the Sample Agreement (Attachment G) to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify Proposers in approximately ten weeks from the proposal due date whether your proposal has been qualified. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

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

XI. Appendices

- Appendix 1 – Regional Map and Production Estimates
- Appendix 2 – Technology Descriptions
- Appendix 3 – Field/Photo Inspection Checklists

- Appendix 4 – Sample Reports

XII. Attachments

All Proposals Submitted Must Include:

- Attachment A – Qualifications Matrix
- Attachment B-1 – Bid and Rate Sheet
- Attachment B-2 – Project Personnel and Rates Form
- Attachment C – Scope of Work for Field/Photo Inspection Services
- Attachment D – Instructions for Electronic Proposal Submission
- Attachment E – Sample Agreement

**Design and Support for Innovative Energy Efficiency and Clean Energy Market Development Programs
Request for Qualifications (RFQL) 3711**

Proposals Due: May 16, 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. 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:	Thursday, April 12, 2018 10:00 a.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:	Intelligent efficiency and building energy systems networking
Date and Time:	Wednesday, April 11, 2018 2:00 p.m. EST
Registration URL:	https://nysesda-events.webex.com/nysesda-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@nysesda.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:

³ Rogers, E., and E. Junga. 2017. *Intelligent Efficiency Technology and Market Assessment*. Washington, DC: ACEEE. aceee.org/research-report/ie1701.

- 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 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 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 NYSEDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSEDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSEDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <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 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. NYSEDA anticipates a contract duration of standard two (2) year initial term, with two, two-year options to renew at NYSEDA's discretion, 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 (Attachment A) 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 eight to ten weeks from the proposal due date whether your proposal was selected. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

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

IX. Attachments

Attachment A – Sample Agreement

Attachment B – Project Personnel and Rates Form

"NextGen HVAC Innovation Challenges"
 Program Opportunity Notice (PON) 3519
Up to \$15 Million Available
Round 2 of 4

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

Important Dates* by 5:00 pm Eastern Time				
Round	Challenge Areas	Challenge Announcement	Concept Paper Due Date(s)	Full Proposal Due Date(s) (Tentative)
1	Heat Pumps, HVAC Controls, Compressorless HVAC, GHEX	June 29, 2017	August 3, 2017	November 16, 2017
2	Heat Pumps, HVAC Controls, Compressorless HVAC	March 22, 2018	April 26, 2018	August 2, 2018
3	TBD	November 29, 2018	January 10, 2019	April 11, 2019
4	TBD	July 25, 2019	August 29, 2019	December 5, 2019
<p align="center"> *Dates are subject to change. Proposers should check NYSERDA's website https://portal.nyserderda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt0000006nDncAAE for the latest updates and revisions to PON 3519. </p>				

I. Introduction

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

The large capital investment and long asset life of existing HVAC equipment requires new HVAC technologies to have compelling value propositions in order to achieve market adoption. Some innovations have been technically compelling but not commercially successful. Additionally, solutions on the market today do not address New York's diverse climate or dense urban population and are not sufficient to meet New York's aggressive energy and GHG reduction goals.

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

This solicitation focuses resources on the successful commercialization of HVAC innovations. In addition to articulating the technical innovation, proposers must describe their commercialization strategy, including: customer discovery and channel strategy, competitive landscape, intellectual property, fundraising needs, manufacturing and scale-up, key partners, and team qualifications and development.

Through this solicitation, NYSERDA will issue a series of innovation challenges over four Rounds and three years (2017-2019). NYSERDA will identify attributes to drive HVAC innovation and challenge innovators to develop solutions that deliver on those attributes. Each Round of this solicitation will begin with the announcement of one or more specific innovation challenges. The areas NYSERDA expects to address through this solicitation include: heat pumps, compressorless HVAC, thermal distribution, advanced HVAC controls, renewable HVAC, integration of renewables/storage with conventional HVAC, solutions for decoupling the sensible and latent cooling requirements, and reductions in peak demand.

NYSERDA will announce the specific innovation challenge(s) for each Round on the tentative dates listed above. Interested proposers should check each Round for the specific innovation challenge areas. NYSERDA reserves the right to add, delete, or modify any of the innovation challenges over the course of this solicitation.

All Concept Papers and Proposals for Round 2 must address one of the following Innovation Challenge Areas: Heat Pumps; HVAC Controls; or Compressorless HVAC. For detailed discussion of each area, refer to Attachments E1 – E3 respectively.

A two-step evaluation process will be used. For each Round of the solicitation, proposers will be required to submit a Concept Paper by the indicated due date. All Concept Papers will be reviewed by a Scoring Committee (SC) based on the evaluation criteria listed 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**.

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

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

Questions? Please see the list of Designated Contacts below. No communication intended to influence this procurement is permitted except by contacting the Designated Contacts named herein.

- For technology-specific questions and questions on Attachment A1 – Statement of Work, see Section II: Innovation Challenge Areas below for a list of Designated Contacts.
- For commercialization-specific questions and questions on Attachment A2 - TRL/CRL Calculator, contact Erica Iannotti at (518) 862-1090 ext. 3285 or by email (Erica.Iannotti@nyserda.ny.gov).
- For contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or by email (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) 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 submissions 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://portal.nyserda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt0000006nDncAAE.

II. Innovation Challenge Areas

All submissions for Round 2 must address one of the following Innovation Challenge Areas:

1. **Innovation Challenge Area 1: Heat Pumps** – See Attachment E1
Technical questions concerning Heat Pumps should be directed to Robert Carver (Designated Contact) at (518) 862-1090 ext. 3242 or by email (Robert.Carver@nyserda.ny.gov).
2. **Innovation Challenge Area 2: HVAC Controls** – See Attachment E2
Technical questions concerning HVAC Controls should be directed to Michael Genovese (Designated Contact) at (518) 862-1090 ext. 3103 or by email (Michael.Genovese@nyserda.ny.gov).
3. **Innovation Challenge Area 3: Compressorless HVAC** – See Attachment E3
Technical questions concerning Compressorless HVAC should be directed to Michael Genovese (Designated Contact) at (518) 862-1090 ext. 3103 or by email (Michael.Genovese@nyserda.ny.gov).

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

III. Program Requirements

Projects selected for funding must:

1. Show potential to reduce GHG emissions from the building sector in New York State.
2. Demonstrate benefits to electric System Benefits Charge (SBC) ratepayers (<https://www.nyserda.ny.gov/About/Funding>), regardless of the initial stage.
3. Address an opportunity to increase the energy-efficiency and/or advance the energy performance of new and/or existing buildings in the residential, multi-family, commercial, or institutional sector.
4. Provide direct and quantifiable energy, environmental, and economic benefits to New York State such as energy savings, demand response, emissions reductions, job creation, product manufacturing and sales, and/or reduced energy costs.
5. Satisfy the Concept Paper requirements and, if selected, Full Proposal requirements and sufficiently address the evaluation criteria (see Sections IV and V).
6. Complete all necessary attachments, including the Concept Paper Template (Attachment B) and, if selected, the Proposal Narrative (Attachment A), Statement of Work (Attachment A1), TRL/CRL Calculator (Attachment A2) and Budget Form (Attachment C).
7. Agree to pay recoupment to NYSERDA for commercial sales or licensing revenues of new technologies, services, or products developed with NYSERDA funding (see Section VI).
8. Agree to Annual Metrics Reporting terms (see Section VI) and General Conditions (see Section VII).
9. Development activities should describe their commercialization strategy and include other commercialization activities; basic research is ineligible.
10. Demonstration projects must take place within New York State and include a letter of support from the site owner(s)/decision maker(s).

11. Provide a letter of support and commitment from all funding sources.

Technology Stages Proposals will consist of one or more of the following stages as defined by Technology Readiness Level (TRL). Only the following three stages will be considered for funding:

Technology Stages	TRL	Proposer Cost Share
Feasibility	1-3	20%
Development	4-7	50%
Demonstration	8-9	40%

Proposals must articulate a plan to take the technology in its current stage through the Demonstration Stage. In other words, if the initial technology stage is Feasibility, the proposal should also include schedules and budgets for the Development Stage and Demonstration Stage. If the initial technology stage is Development, the proposal should also include a schedule and budget for the Demonstration Stage.

All activities with a **stage** budget in excess of \$350,000 may be broken down into **phases** at NYSERDA's discretion. Funding may be awarded for multiple phases with funding for each phase beyond the initial phase conditional upon meeting predefined goals of prior phases and contingent upon the availability of funds. An additional review will be required for projects to move between **stages**. For more information regarding the stage gating process, please refer to section 3 of 'Project Schedule, Staging, and Teaming' below.

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

1. **Feasibility Stage** (Proposer cost share of 20% or greater)
 - a. Applied research aimed at early development of a new product or technology, policy, business, and/or regulatory model.
 - b. The Feasibility Stage of any proposed project will be limited to \$350,000 total.
 - c. Projects beginning in this stage should have a TRL of 1-3. If the TRL is of a greater value, the proposer should apply under the Development or Demonstration Stage.
 - d. After completing the Feasibility Stage, the sub-components should be validated and testing of the complete system should be underway.
 - e. After completing the Feasibility Stage, the innovation should be validated as commercially viable through discussions with potential customers and/or users.

2. **Development Stage** (Proposer cost share of 50% or greater)
 - a. Development and commercialization of products/services for improving the energy performance of new or existing buildings in NYS. Technical and commercial feasibility of the innovation should have been demonstrated prior to submitting to this stage. If feasibility has not yet been shown, the proposer may apply under the Feasibility Stage.
 - b. Development activities may include field testing to help improve the product/service or expected performance and value proposition.
 - c. Projects beginning in this stage should have a TRL of 4-7. If the TRL is less than 4, the proposer should submit under the Feasibility Stage. If the TRL is over 7, the proposer should submit under the Demonstration stage.
 - d. After completing the Development Stage, a prototype that can reliably perform all functions that would be required in an operational system should exist.
 - e. After completing the Development Stage, the team should have a strong, market-validated commercialization strategy that addresses commercialization activities.

3. **Demonstration Stage** (Proposer cost share of 40% or greater)

- a. Demonstrations of new or under-utilized technologies or practices that advance the energy performance of either new or existing buildings in NYS.
- b. Proposals beginning in the Demonstration Stage should not include technology or product development activities. If technology or product development activities are appropriate, the proposer may propose under the Feasibility Stage or Development Stage.
- c. Demonstration proposals should clearly identify how the project will bring the product, technology, or practice closer to commercial success and how the demonstration will lead to increased use of the technology or practice in NYS.
- d. Demonstration proposals should include a detailed plan for disseminating project results to a wide audience.
- e. Evaluation of the demonstration should be conducted by a recognized and independent third-party evaluator (i.e., evaluator has no financial interest in the outcome of the demonstration).
- f. The demonstration must take place at a site that pays into the Clean Energy Fund (<https://www.nyserderda.ny.gov/About/Funding>) through the electric SBC unless significant statewide benefits are demonstrated.
- g. Projects submitted under the Demonstration Stage should have a TRL of 8-9. If the TRL is less than 8, the proposer should submit under the Feasibility Stage or Development Stage.
- h. After completing the Demonstration Stage, the product should be in its final form and ready for market.
- i. After completing the Demonstration Stage, the team should have a strong, market-validated commercialization strategy.

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

1. Proposers must select an initial stage and indicate it in their proposal. Unless the initial stage selected is Demonstration, the proposal will be a multi-stage proposal with commercialization as the end goal.
 - a. The proposer should describe how they will complete their initial stage and any following stage along with significant milestones, total cost, and schedule for each stage.
 - b. For example, if the initial stage is Feasibility, the proposal should also include separate tasks, schedules, and budgets for the Development Stage and Demonstration Stage. If the initial stage is Development, the proposal should also include separate tasks, schedule, and budget for the Demonstration Stage.
 - c. NYSERDA reserves the right to modify a project's Statement of Work and may offer to fund part of the proposal or stage therein at a level lower than that requested, such as offering to fund only a single **stage** of a multi-stage proposal rather than a full development effort.



2. A project is expected to begin within nine months of the proposal due date. No project schedule should exceed a total of 36 months, except to indicate commercialization activities beyond those of the proposed project.
3. For multi-stage proposals:
 - a. Any contract awarded to fund one or more stage(s) of a multi-stage project does not in any way obligate NYSERDA to fund the later stages.
 - i. NYSERDA anticipates awarding contracts for either a single stage of a multi-stage project, or for multiple stages. In the case of a multi-stage award, NYSERDA anticipates issuing a contract with a maximum, “not-to-exceed”

- amount with subsequent stages only being awarded on a contingent basis as described below.
- ii. NYSERDA reserves the right not to move forward with subsequent stages of a multi-stage award, dependent on project success and availability of funding.
 - iii. Later stages may be funded at NYSERDA's sole discretion, using a stage gating review process: at the completion of each stage, project outcomes will be evaluated to determine if the project will continue to be funded. The evaluation criteria will include: probability of technical and commercial success, potential market impact, leverage of resources, strategic fit within the program portfolio, and the availability of program funds.
 - iv. NYSERDA expects it may award more contingent funding than is available for this program.
- b. The proposal must meet the minimum proposer cost share for each stage (20% feasibility, 50% development, 40% demonstration).
4. A proposal may be considered non-responsive if it fails to comply with the requirements above, the Proposal Requirements of Section IV, or the General Conditions of Section VIII.
 5. Prior to an award being made, proposers may be required to demonstrate confirmation of cost share, participation of key individuals and team, commitment from demonstration site, and the ability to qualify for an award under applicable laws and regulations.
 6. Preference will be given to proposers that provide attractive leverage (cash co-funding, partnerships) opportunities for NYSERDA, and proposers who have a strong path to commercialization.

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

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

Letters of Commitment or Interest - If you are relying on any other organization to do some of the work, provide services or equipment, or share in the non-NYSERDA cost, include a letter from that organization describing its planned participation. Also include letters of interest or commitment from businesses or other organizations critical to the future commercialization, demonstration, or implementation of the project. Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. However, in the instance that a proposal is beginning in the Feasibility Stage, a letter of commitment from a Host Site may be difficult to secure. In this instance, a proposer should indicate their intention to secure the commitment and that more time is necessary to do so. Letters should not be solicited from NYSERDA personnel.

IV. Concept Paper & Full Proposal Requirements

1. **Concept Paper:** Submission of a Concept Paper is required for initial consideration under this solicitation. Failure to submit a Concept Paper precludes submission of a Full Proposal. Concept Papers must conform to the following requirements:
 - The Concept Paper Template (Attachment B) must be complete. If a required question is not answered, the Concept Paper may be deemed unresponsive and may be returned;
 - Concept Paper submitters are required to use the format of the Concept Paper Template. The intent of the template is to lead the proposer through the requirements in an organized manner without repeating or restating necessary information. **Concept Papers using a different format may be deemed unresponsive;**

- Concept Papers must be submitted in Adobe PDF format, be written in English, be single spaced, use black 11 point Times New Roman font (except in Figures and Tables), and be formatted to fit on 8.5 inch by 11-inch paper with margins no less than 1 inch;
 - Concept Papers shall not exceed four (4) pages in length including graphics, figures, and/or tables; and
 - Concept Papers must prominently display on each page the Principle Investigator's Last Name and be completed in accordance with the Submittal Instructions.
2. **Full Proposal:** If notified by NYSERDA of a favorable Concept Paper review, the proposer will be invited to submit a Full Proposal. Full Proposals must include the following:
- The Proposal Narrative (Attachment A) form-fillable document must be complete. The Innovation Challenge Area and initial Technology Stage must be clearly indicated. **The Proposal Narrative must have all the required questions/sections answered. If a required question is not answered, the proposal could be deemed non-responsive.**
 - The Statement of Work (Attachment A1), TRL/CRL Calculator (Attachment A2), and Budget Form (Attachment C) must be completed.
 - Proposals should not be submitted in an elaborate format. Unnecessary appendices beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the PON number, and the page number.
 - **Cost Sharing:** The proposal should show non-NYSERDA funding of at least 20% of the Feasibility Stage, 50% of the Development Stage, and 40% of the Demonstration Stage. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred.

V. Proposal Evaluation

1. **Concept Papers:** Concept Papers determined compliant with application procedures and eligible and responsive to PON 3519 will be subject to NYSERDA review. Eligible Concept Papers will be reviewed and scored per the criteria and point system below. A score of 65 points is the minimum threshold of 100 possible points. No proposal with a score of less than 65 will be considered for an invitation to submit a Full Proposal.

Evaluation Criteria in Order of Importance:

- **New York State Impact (20 points)**
 - Is the proposed approach an advancement over existing solutions which, if successful, will result in truly significant improvements in energy technology and in energy utilization, GHG emission reductions, building resiliency and utilization in New York State?
 - Is the proposed approach likely to enable benefits at scale, that is, if developed, could supplant existing technology and/or create entirely new marketplaces in New York State, stimulating clean technology manufacturing and business growth and improving consumer choice?
 - Is the proposed concept consistent with the innovation challenge, and NYSERDA programmatic goals and mission?
- **Innovation (20 Points)**
 - Is the proposed approach unique and innovative?
 - Is the proposed approach technically sound?
 - Is the proposed approach aimed at the development of technology or innovative business practice, as opposed to basic research aimed at discovery and fundamental knowledge generation?

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

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

Evaluation Criteria in Order of Importance:

- **Proposed Solution/Scope.** Does the proposed project specifically address a problem or opportunity identified in an Innovation Challenge Area and sub-category in the PON and does it show potential to make significant progress in support of the Innovation Challenge Area? Is the proposed project likely to solve the problem or exploit the opportunity? Is the proposed work technically feasible, innovative, and superior to alternatives? Is the work strategy sound? Is there a clear commercialization strategy that is market-based and likely to be

successful? Can the technical and commercial strategies be tested, measured, and adjusted with ease?

- **Project Benefits.** How significant are the potential reductions in GHG emissions or energy use resulting from the project? Will there be economic benefits in New York State in the form of subsequent manufacturing or technical service activity, intellectual property creation, revenue-generation, or job creation? Are there additional significant benefits, such as improvement in the building sector's resiliency to disasters? Will a significant part of the work on the project take place in New York State?
- **Market Potential.** Does the proposed project address a current challenge or opportunity that is not being addressed by others? Is the implementation or commercialization strategy well-conceived and appropriate for the stage(s) of development? Has the proposer adequately and correctly described the target customer, defined their value proposition, and identified a real demand for the proposed solution? Does the proposed solution have the potential for wide-scale replication? Is there a process or strategy in place to measure progress and success?
- **Project Value.** Is the overall project cost justified based on the expected benefits? Relative to the project cost, how significant is the potential market or deployment opportunity? How appropriate are the proposer's co-funding contributions (sources and amounts) in view of the proposer's overall financial resources, degree of risk exposure, and potential to benefit from the work? Does the proposer have a reasonable plan for pursuing any additional funding necessary for full commercialization?
- **Project Team and Support.** To what degree does the team have relevant and necessary technical and commercial background and experience? Has the proposer previously commercialized any products? How firm are the commitments and support from essential participants, co-funders, and other organizations? Has the proposer demonstrated support from necessary market actors and potential customers?

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

VI. Recoupment and Metrics

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

1. **Product Development:** the method of bringing a new or improved product or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement.

2. **Demonstration:** a project intended to increase sales or usage of a commercialized product already in the marketplace, with results used to generate objective performance information for customers or policymakers. At this stage, the product is available for commercial sale and warranted. While incremental improvements may be incorporated based on the demonstration results, the final product design is essentially complete.

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

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. Please refer to Section VII: General Conditions for more information regarding Annual Metrics Reports.

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

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.nyserdera.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

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

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

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

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

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

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). Please see Attachment C (Metrics Reporting Guide) for the metrics that you will be expected to provide and the reporting duration. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

VIII. Attachments

- Attachment A – Proposal Narrative
 - Attachment A1 – Statement of Work
 - Attachment A2 – TRL/CRL Calculator
- Attachment B – Concept Paper Template
- Attachment C – Budget Form and Instructions
- Attachment D – Metrics Reporting Guide
- Attachment E1 – Heat Pumps
- Attachment E2 – HVAC Controls
- Attachment E3 – Compressorless HVAC
- Attachment F – Sample Agreement



Solarize
Program Opportunity Notice (PON) 3011

Round 4 of Solarize, which is meant for projects launching in spring 2018, will be open for application through 5pm on February 28, 2018*

PROGRAM SUMMARY

NYSERDA invites local governments, school districts, and other community partners to participate in Solarize, an effort to make solar easier and more affordable through community-driven initiatives. In 2018, NYSEERDA will be supporting Solarize campaigns, which are short term (approximately 6-9 months, including planning and outreach) local efforts to bring together groups of potential solar customers through widespread outreach and education. This program helps customers choose a solar installation company or community solar project that is offering competitive, transparent pricing. NYSEERDA will provide marketing materials and technical assistance for qualifying projects, as well as funding for campaign expenses.

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

CONTACT INFORMATION

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

APPLICATION SUBMISSION

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

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

I. Overview

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

In 2018, NYSERDA will be supporting community solar projects known as “Solarize” campaigns. These are short term (approximately 6-9 months, including planning and outreach) local efforts to bring together groups of potential solar customers through widespread outreach and education to help these customers choose a solar installation company, or community solar project that is offering competitive, transparent pricing. Community-driven Solarize campaigns around the state and country have resulted in thousands of new solar installations and significant cost reductions and environmental benefits.

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

II. Schedule

Round 4 of Solarize, which is meant for campaigns launching in spring 2018, will be open through February 28, 2018. Applications will be accepted at any time up to then, and will be reviewed as they are received.

III. How we support your community initiative

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

Funding

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

Materials and Technical Assistance

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

IV. Eligibility

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

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

V. Qualifications

In order to qualify for participation in Solarize, communities must demonstrate through the application:

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

VI. Next steps

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

VII. Contact information

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

VIII. General Conditions

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

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

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

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

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

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

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

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

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

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

IX. Attachments:

Attachment A: Sample Application

Attachment B: Sample Agreement

NYSERDA
Public Authority Law Report
October 1, 2017 to March 31, 2018

Section Break

Projects Selected for Funding by Region

Period 10/1/2017 through 3/31/2018

REDC Region	County	Electric Utility	Total Funded Amount
Capital Region	Albany	National Grid	13,920,875
	Columbia	Central Hudson Gas and Electric	11,935
		National Grid	64,787
		NYS Electric and Gas	50,372,301
	Greene	Central Hudson Gas and Electric	119,446,333
		NYS Electric and Gas	34,285
	Rensselaer	National Grid	803,771
		NYS Electric and Gas	231,404
	Saratoga	National Grid	717,286
		NYS Electric and Gas	211,009
	Schenectady	National Grid	77,358,042
	Warren	National Grid	1,086,016
	Washington	National Grid	136,966
		NYS Electric and Gas	20,001
	Total		264,415,010
Central New York	Cayuga	NYS Electric and Gas	160,505
		Rochester Gas and Electric	5,000
	Cortland	National Grid	15,177
		NYS Electric and Gas	20,963
	Madison	National Grid	60,898
		NYS Electric and Gas	15,000
	Onondaga	National Grid	901,102
		NYS Electric and Gas	77,436
	Oswego	National Grid	192,329
	Total		1,448,411
Finger Lakes	Genesee	National Grid	720,841
	Livingston	National Grid	19,285
		NYS Electric and Gas	1,874
	Monroe	National Grid	108,970
		Rochester Gas and Electric	5,050,043
	Ontario	National Grid	2,500
		NYS Electric and Gas	975,349
		Rochester Gas and Electric	1,147,444
	Orleans	National Grid	322,484
	Seneca	NYS Electric and Gas	190,644
	Wayne	NYS Electric and Gas	47,471
		Rochester Gas and Electric	873,912
	Wyoming	National Grid	19,385
		NYS Electric and Gas	8,500
	Yates	NYS Electric and Gas	823,334
Total		10,312,036	
Long Island	Nassau	Long Island Power Authority	614,056
		Municipal Utilities	4,296
	Suffolk	Long Island Power Authority	3,680,340

Projects Selected for Funding by Region

Period 10/1/2017 through 3/31/2018

REDC Region	County	Electric Utility	Total Funded Amount	
Long Island	Total		4,298,692	
Mid-Hudson	Dutchess	Central Hudson Gas and Electric	1,064,220	
		NYS Electric and Gas	5,880	
	Orange	Central Hudson Gas and Electric	50,919	
		NYS Electric and Gas	1,107,822	
		Orange and Rockland Utilities	4,333,904	
	Putnam	Central Hudson Gas and Electric	12,670	
		NYS Electric and Gas	13,822	
	Rockland	Orange and Rockland Utilities	409,825	
	Sullivan	NYS Electric and Gas	1,862,058	
		Orange and Rockland Utilities	481,658	
	Ulster	Central Hudson Gas and Electric	3,320,669	
	Westchester	Consolidated Edison	2,293,878	
		NYS Electric and Gas	21,131	
		Total		14,978,455
	Mohawk Valley	Fulton	National Grid	1,465,382
Herkimer		Municipal Utilities	390,000	
		National Grid	118,892	
Montgomery		National Grid	1,582,665	
Oneida		Municipal Utilities	106,000	
		National Grid	399,061	
		NYS Electric and Gas	35,093	
Otsego		National Grid	2,500	
		NYS Electric and Gas	185,758	
Schoharie		National Grid	79,122,792	
	Total		83,408,143	
New York City	Bronx	Consolidated Edison	3,822,248	
	Kings	Consolidated Edison	5,342,897	
	New York		17,143	
		Consolidated Edison	26,703,661	
	Queens	Consolidated Edison	4,396,997	
		Long Island Power Authority	25,056	
	Richmond	Consolidated Edison	3,932,777	
		Total		44,240,778
North Country	Clinton	NYS Electric and Gas	159,137	
	Essex	National Grid	100,394	
		NYS Electric and Gas	36,238	
	Franklin	National Grid	316,751	
		NYS Electric and Gas	39,965	
	Jefferson	National Grid	1,022,294	
		THERESA	2,500	
	Lewis	National Grid	17,500	
	St. Lawrence	National Grid	191,837	
		Total		1,886,616

Projects Selected for Funding by Region

Period 10/1/2017 through 3/31/2018

REDC Region	County	Electric Utility	Total Funded Amount	
Southern Tier	Broome	NYS Electric and Gas	175,075,038	
	Chemung	NYS Electric and Gas	1,931,904	
	Chenango	National Grid	2,500	
		NYS Electric and Gas	4,403,993	
	Delaware	NYS Electric and Gas	41,602	
	Schuyler	NYS Electric and Gas	20,498	
	Steuben	NYS Electric and Gas	389,801	
	Tioga	NYS Electric and Gas	7,601,074	
	Tompkins	NYS Electric and Gas	18,964,942	
	Total			208,431,352
Statewide	STATEWIDE	Statewide	564,939,638	
	Total			564,939,638
Western New York	Allegany	National Grid	5,000	
		Rochester Gas and Electric	69,975	
	Cattaraugus	National Grid	477,539,205	
		NYS Electric and Gas	10,831	
	Chautauqua	Municipal Utilities	50,000	
		National Grid	535,067	
		NYS Electric and Gas	2,500	
	Erie	National Grid	3,804,671	
		NYS Electric and Gas	62,907	
	Niagara	National Grid	207,800	
		NYS Electric and Gas	2,438	
	Total			482,290,395
	Grand Total			1,680,649,526

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Contractor	Contract Description	Total Expended Amount
1st Light Energy, Inc.	<200KW PV, NY Sun	45,952
	<200KW PV, NY-Sun	11,081
25 WA Associates, LLC	NEW CONSTRUCTION PROGRAM, NCP98322 - Steiner Studios	50,971
55 Prospect Owner LLC	NEW CONSTRUCTION PROGRAM, NCP11957 - 55 Prospect Street	22,800
60 East 8th St Condo	COMBINED HEAT AND POWER, Distributed Generation as Comb	6,863
77 Sands Owner LLC	NEW CONSTRUCTION PROGRAM, NCP11962 - 77 Sands Street Bro	34,953
95 Evergreen Building Investors III LLC	NEW CONSTRUCTION PROGRAM, NCP13055 - 95 Evergreen	21,606
109 Gas Corp.	FUEL NY, GSP00223 - 109 Gas Corp.	13,000
117 Adams Owners LLC	NEW CONSTRUCTION PROGRAM, NCP11960 - 117 Adams Street Br	21,275
133 Greenwich St Associates LLC	NEW CONSTRUCTION PROGRAM, NCP11289 - 133 Greenwich St	64,474
158th St. & Riverside Drive Housing C..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	96,075
183 Lorraine St, LLC	Flexible Tech Assistance, FlexTech Program - PON1746	17,500
295 Maryland, LLC	NEW YORK ENERGY STAR HOMES, New Construction	0
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	129,000
300 Park Avenue Inc	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON 1746	20,500
333 Lenox Associates, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	23,200
415 W 46 Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	4,000
860 Washington Street LLC	NEW CONSTRUCTION PROGRAM, NCP11560 - 860 Washington Stre	21,839
1120 Avenue of the Americas LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech - PON1746	14,000
1251 Americas Associates II, LP	FLEXIBLE TECHNICAL ASSISTANCE, 1746EPS1SB	72,575
1258 Middle Country Realty LLC	FUEL NY, PGI00073 - 1258 Middle Country	93,612
1406RB PV LLC	NY-SUN, Olean Gateway PV Project 1	417,766
	NY-SUN, Olean Gateway PV Project 2	417,766
1414 Holdings, LLC	NEW CONSTRUCTION PROGRAM, NCP10451 - 1414 Holdings LLC	55,427
1515 Broadway Fee Owner LLC	EXISTING FACILITIES, EFP1892 - 1515 Broadway Fee Ow	311,111
1534 Selwyn Avenue Co.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	73,000
2015 ESA Project Company, LLC	FUEL CELLS, RPS FC - Home Depot #1215	685,000
	FUEL CELLS, RPS FC - Home Depot #1249	685,000
	FUEL CELLS, RPS FC - Home Depot #1251	648,139
	FUEL CELLS, RPS FC - Home Depot #1281	685,000
	FUEL CELLS, RPS FC - Home Depot #6152	655,731
2157 Realty Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	60,000
2605 GC Owner, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	94,763
ABB, Incorporated	DER Integration(Intrcnct), PON 3404 DER Integration	85,097
Absolutely Energized Solar Electric Inc	NY-SUN, New York Sun Competitive PV Pr	28,357
Abt Associates Inc.	Combined Heat and Power, Flex Energy Tech Analysis 2	7,495
	ENVIRONMENTAL RESEARCH, Community Flood Risk	83,982
	ENVIRONMENTAL RESEARCH, Environmental Res. Outreach	38,346
	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	21,887
Access Supports for Living Inc.	Low Rise New Construction, New Construction	50,000
Accord Power, Inc.	<200KW PV, NY Sun	53,600
ACM Medical Laboratory, Inc.	>200KW PV, NY Sun	48,351
Acorda Therapeutics Inc	Industrial Process Effic, Industrial Process Efficiency	6,417
Action Research Inc.	ADVANCED BUILDINGS, Behavior Research Pilot Design	1,577
	CLEAN TRANSPORTATION, Behavior Research Pilot Design	344
Active Solar Development, LLC	<200KW PV, NY Sun	232,381
Adam C. Boese	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	297,420
Adirondack North Country Association	CLEANER GREENER COMMUNITIES, CGC42502 - CGC One Stop Shop	176,704

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Contractor	Contract Description	Total Expended Amount
ADM Associates, Inc.,	EVALUATION, ADM Associates Inc. TWO	84,695
	Industrial Process Effic, ADM Associates Inc. TWO	16,132
Advance Circuit Technologies	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	5,653
Advanced Solar Products, Inc.	NY-SUN, PV System at Bausch & Lomb	352,684
AE Solar Energy Inc.	NY-SUN, NY-Sun Comp. Liberty Distribut	111,733
AECOM Technical Services Inc.	WEST VALLEY DEVELOPMENT PROGRAM, Environmental Monitoring S..	424,412
Aegis Energy Services Inc.	Combined Heat and Power, CHPA - 220 Madison	44,550
	Combined Heat and Power, CHPA - 300 Central Park West	59,400
	Combined Heat and Power, CHPA - Grace Towers Apartment	55,440
	Combined Heat and Power, CHPA - Green Hills Home	19,635
	Combined Heat and Power, CHPA - Park Lane	83,044
	Combined Heat and Power, CHPA - Patrick Gorman	154,000
	Combined Heat and Power, CHPA - Plaza Residences 23-25	83,044
	Combined Heat and Power, CHPA - Plaza Residences 250	55,440
	Combined Heat and Power, CHPA - Remeeder House - Sheffi	27,720
	Combined Heat and Power, CHPA - Remeeder House - Sutter	27,720
	Combined Heat and Power, CHPA - Remeeder Houses - Alaba	27,720
	Combined Heat and Power, CHPA - Time Square	119,000
	Combined Heat and Power, CHPA- Remeeder House - Blake	27,720
Aeonsolar	<200KW PV, NY Sun	27,239
AES Holland Solar, LLC	NY-SUN, NY-Sun C&I	25,786
Agrivida Inc.	OTHER PROGRAM AREA, ClnEngyRes&MktDev (not in use)	0
Ahearn Holtzman Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	19,776
AKF-engineers	Flexible Tech Assistance, FlexTech Consultants Statewide	11,211
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	47,512
Albany Convention Center Authority	NEW CONSTRUCTION PROGRAM, NCP10695 - NYS Convention Cntr	123,793
Albany Energy, LLC	LARGE SCALE RENEWABLES, Albany 2	169,623
	LARGE SCALE RENEWABLES, Albany Energy LLC	36,799
Albany Engineering Corp.	LARGE SCALE RENEWABLES, Mechanicville Hydro	138,460
	LARGE SCALE RENEWABLES, Stuyvesant Falls Hydroelectric	43,563
Albany Housing Authority	NEW YORK ENERGY STAR HOMES, New Construction	156,000
Albany Solar Solutions L.L.C.	<200KW PV, NY Sun	11,712
Albany, City of,	CLEANER GREENER COMMUNITIES, CGC28993 - City of Albany	13,250
All Systems Cogeneration, Inc.	Combined Heat and Power, CHP - Elbee Gardens	118,800
	COMBINED HEAT AND POWER, CHPA - Roosevelt Terrace II	138,600
	COMBINED HEAT AND POWER, CHPA - Shoreview Nursing & Reh	85,320
Allen Power, Inc.	SMART GRID SYSTEMS, RFP 3044 R2	225,000
Alliance Energy LLC	FUEL NY, PGI00025 - Alliance Energy LLC	94,913
	FUEL NY, PGI00153 - Alliance Energy LLC	95,678
Alliance for Housing Inc.	Multifam New Construction, PPES T2 Fountain Sea A2	25,000
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	64,970
Alliance for Sustainable Energy, LLC	ADVANCED BUILDINGS, Advanced Buildings Technology	49,212
	MARKET PATHWAYS, Residential Products	64,545
Alliance Homes	NEW YORK ENERGY STAR HOMES, New Construction	137,500
Altanova LLC	Commercial Real Estate Ten, Altanova-1095 AoA-CT	3,908
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	7,766
Alteris Renewables Inc.	NY-SUN, RPS CST Regional Program	224,814
Alternative Power Solutions of NY, LLC	<200KW PV, NY Sun	73,044

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Contractor	Contract Description	Total Expended Amount
Ambrosino, DePinto & Schmieder	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	4,632
Amergy Solar Inc.	<200KW PV, NY Sun	15,719
	<200KW PV, NY-Sun	8,698
American Energy Care, Inc.	<200KW PV, NY-Sun	117,560
American Natural Gas, LLC	CLEAN TRANSPORTATION, NYS Compressed Natural Gas	379,778
American Organic Energy, LLC	CLEANER GREENER COMMUNITIES, CGC31123 - AO Energy	323,143
American Solar Partners, LLC	<200KW PV, NY Sun	23,713
	<200KW PV, NY-Sun	7,056
Ampersand Olcott Harbor Hydro LLC	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	750
Ampersand Tannery Island Hydro, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	3,031
Antares Group, Inc.	COMBINED HEAT AND POWER, Technical Review and Program S	21,374
	Commercial Imp Assist, Technical Review and Program S	3,517
	EXISTING FACILITIES, Technical Review and Program S	429
	Geothermal Incentive Program, Technical Review and Program S	33,193
	Industrial Process Effic, Technical Review and Program S	22,393
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	8,786
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	13,986
	NYSERDA ADMINISTRATION, Renewable Portfolio Standard T	118
Apex Solar Power LLC	<200KW PV, NY Sun	148,817
	<200KW PV, NY-Sun	41,200
Applied Energy Group, Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	2,980
APX Inc.	LARGE SCALE RENEWABLES, NYGATS	199,718
	REC:CES REC System Dev Costs, NYGATS	80,125
	ZEC:CES ZEC System Dev Costs, NYGATS	60,125
Aquinas Institute, Inc.	Commercial Imp Assist, CIAP002 - Aquinas Institute	112,800
Arab Banking Corporation B.S.C.	Industrial Process Effic, Industrial Process Efficiency	10,278
Aramark Management Srvc Ltd Prtnshp	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	16,800
Arcadis of New York, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,900
	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	2,500
Arcadis U.S., Inc.	COMBINED HEAT AND POWER, Tech Review & Program Staff	1,957
	Commercial Imp Assist, Tech Review & Program Staff	6,722
	Commercial New Construc, Tech Review & Program Staff	13,704
	EXISTING FACILITIES, Tech Review & Program Staff	147,580
	FUEL NY, Tech Review & Program Staff	731,660
	Industrial Process Effic, Tech Review & Program Staff	28,395
	INDUSTRIAL PROCESS EFFICIENCY, Tech Review & Program Staff	1,343
	NEW CONSTRUCTION PROGRAM, Tech Review & Program Staff	77,655
	NY-SUN, Tech Review & Program Staff	15,436
	NYSERDA ADMINISTRATION, Greenling the Bronx M&V	14,996
	Real Time Enrgy Management, Tech Review & Program Staff	4,063
	Solar Thermal, Tech Review & Program Staff	0
Arch Street Communications, Inc.	Clean Energy Communities, Marketing Support for NYSERDA	32,705
Armson Farms, Inc	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	1,133
Arnold & Porter Kaye Scholer LLP	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Counsel ..	8,837
Arnot Ogden Medical Center	EXISTING FACILITIES, EFP2482 - Arnot Health	378,275
ARTEMIS SOLAR LLC	NY-SUN, Cornell - Musgrave	868,752
Arts Center and Theater of Schenecta..	CLEANER GREENER COMMUNITIES, CGC27842 - Marquee Power Proct	510,265
Aspden Assets, Inc	NY-SUN, Assignee/Vendor 37085	57,626

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Contract Description	Total Expended Amount
Astrum Solar, Inc.	<200KW PV, NY Sun	5,280
Atelier Ten	NEW CONSTRUCTION PROGRAM, ATEN - EMP	2,200
Audubon Properties LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	48,000
Avangrid Renewables, LLC	LARGE SCALE RENEWABLES, Hardscrabble Wind Energy	706,942
	LARGE SCALE RENEWABLES, Hardscrabble Wind Power LLC	835,264
Avenue D Investors LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	33,000
AWS Truepower	Off-Shore Wind Pre-Dev Act, RFP 3462	59,040
Bard College	REV CAMPUS CHALLENGE, RFP 3214 REV Campus Challenge	20,829
Beck Farms LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	34,356
Behavioral Ideas Lab, Inc.	ADVANCED BUILDINGS, Behavior Overview & Design	57,167
Bennett & Moskowitz Etal Ptrs	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	48,300
Bergman Associates, P.C.	CLEAN TRANSPORTATION, Mkt Trn (no longer in use)	201
Bergmann Associates	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,876
	Commercial Imp Assist, Technical Review and Program S	1,508
	EXISTING FACILITIES, Technical Review and Program S	849
	Flexible Tech Assistance, FlexTech Consultant Selection	9,349
	Flexible Tech Assistance, Technical Review and Program S	13,075
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	45,295
	Industrial Process Effic, Technical Review and Program S	37,759
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	33,195
	On-Site Energy Manager, FlexTech Consultant Selection	96,034
	Renewable Heat NY, Technical Review and Program S	2,398
Berry Plastics	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	225,457
Best Energy Power	<200KW PV, NY Sun	366,258
	<200KW PV, NY-Sun	2,658
Better Cities & Towns, Inc.	CLEANER GREENER COMMUNITIES, CGC31774 - Better Cities Towns	6,000
BHP Energy LLC	Combined Heat and Power, CHPA - Corning Innovation Supp	658,350
Bigwood Systems Inc	SMART GRID SYSTEMS, EPTD Smart Grid Program	105,362
BioDiversity Research Institute	Environmental Research, BRI: TWO umbrella agreement	31,557
	ENVIRONMENTAL RESEARCH, Monitoring Birds and Loons- Hg	69,000
	Off-Shore Wind Pre-Dev Act, BRI: TWO umbrella agreement	29,830
BioEnergySP, Inc.	OTHER PROGRAM AREA, Technology to Market	110,000
Black River Hydroelectric, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	197,550
Bloomberg, L.P.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	775,682
Blue Sea Development Company, LLC	COMMUNITY SOLAR, Affordable Solar Predevelopment	49,800
Board of Managers of Cipriani Club	Combined Heat and Power, CHPA - 55 Wall Street	418,189
Bolla EM Realty LLC	FUEL NY, PGI00093 - Bolla EM Realty LLC	91,171
	FUEL NY, PGI00144 - Bolla EM Realty LLC	90,037
Bolla Operating Corp.	FUEL NY, PGI00037 - Bolla Operating Cor	101,384
	FUEL NY, PGI00083 - Bolla Operating Cor	86,040
	FUEL NY, PGI00095 - Bolla Operating Cor	97,222
	FUEL NY, PGI00096 - Bolla Operating Cor	119,790
Bolla Operating LI Corp.	FUEL NY, PGI00016 - Bolla Operating LI	74,172
	FUEL NY, PGI00030 - Bolla Operating LI	80,385
	FUEL NY, PGI00033 - Bolla Operating LI	89,703
	FUEL NY, PGI00044 - Bolla Operating LI	61,626
	FUEL NY, PGI00045 - Bolla Operating LI	70,662
	FUEL NY, PGI00060 - Bolla Operating LI	78,091

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Contractor	Contract Description	Total Expended Amount
Bolla Operating LI Corp.	FUEL NY, PGI00084 - Bolla Operating LI	77,342
	FUEL NY, PGI00085 - Bolla Operating LI	71,660
	FUEL NY, PGI00143 - Bolla Operating LI	91,595
	FUEL NY, PGI00152 - Bolla Operating LI	76,440
Bond, Schoeneck & King, PLLC	Clean Energy Communities, RFP 3300 Outside Counsel Servi	962
	CLEAN TRANSPORTATION, RFP 3300 Outside Counsel Servi	28,680
	NYSERDA ADMINISTRATION, Outside Legal Services	4,514
Booz Allen Hamilton, Inc.	OTHER PROGRAM AREA, RFP 3044 R2	90,000
Borg Warner-Morse TEC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	130,493
BQ Energy, LLC	NY-SUN, Town of Esopus Landfill	91,119
Brattle Group Inc.	Off-Shore Wind Master Plan, Large Scales Renewables Techni	67,841
	REC:CES REC Pgm Non-Rec Exp, Large Scales Renewables Techni	40,378
Brevard Owners Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	142,800
Bright Power, Inc.	<200KW PV, NY Sun	91,056
	<200KW PV, NY-Sun	151,121
	>200KW PV, Commerical/IndustrialPV	69,625
	ADVANCED BUILDINGS, PV Battery backup system demo	75,000
	Flexible Tech Assistance, FlexTech Consultant Selection	14,650
Broadwell Dairy	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	7,704
Bronx Pro Real Estate Management	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	70,200
Brookhaven National Lab	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Center for Emer..	264,550
	RENEWABLE HEAT NY, Next-Gen Test Method Devel	8,509
Brooklyn LW Hotel Associates, L.P.	NEW CONSTRUCTION PROGRAM, NCP12285 - Hampton Inn Brooklyn	53,553
Brooklyn SolarWorks LLC	<200KW PV, NY Sun	8,820
	<200KW PV, NY-Sun	5,616
Broome Community College	REV CAMPUS CHALLENGE, RFP 3214 REV Campus Challenge	290,000
Broome County	OTHER PROGRAM AREA, Regional Economic Development	197,800
Brown Brothers Harriman & Co.	Commercial Real Estate Ten, BBH - 140 Bway - CRE Tenant	11,000
BSREP UA Parker LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	41,600
BTMI Engineering, PC	Off-Shore Wind Pre-Dev Act, RFP 3462	155,128
Buckeye Terminals, LLC	FUEL NY, Upstate NY Strategic Fuels Res	409,412
	SFRUP:Upstate Strat Fuel Res, Upstate NY Strategic Fuels Res	250,961
Buffalo Niagara Medical Campus, Inc.	CLEAN TRANSPORTATION, BNMC Smart Card Technology	0
	CLEAN TRANSPORTATION, Buffalo Smart Corridor Plan	1,215
	SMART GRID SYSTEMS, RFP 3044 R2	50,000
Buffalo Renewables, Inc.	Small Wind, Wind Turbine Incentive	58,380
Buffalo Solar Solutions Inc	<200KW PV, NY Sun	56,934
	<200KW PV, NY-Sun	5,670
Building Media, Inc.	ADVANCED ENERGY CODES, Energy Code Training and Suppo	9,743
	ADVANCED ENERGY CODES, NYS Energy Code Conference	9,453
Buselli Plumbing & Heating	<200KW PV, NY Sun	16,000
BW Research Partnership	OTHER PROGRAM AREA, New York Clean Energy Jobs Stu	73,736
C.J. Brown Energy, P.C.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	50,302
	Flexible Tech Assistance, FlexTech Consultant Selection	6,738
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	2,126
C.T. Male Associates Engineering,	EXISTING FACILITIES, Technical Review and Program S	93
	Flexible Tech Assistance, FlexTech Consultant Selection	2,185
C&S Oil Corporation	FUEL NY, GSP00676 - C&S Oil Corporation	9,862

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Contractor	Contract Description	Total Expended Amount
Caithness Long Island LLC	SMART GRID SYSTEMS, Competitive Greenhouse Gas	40,883
Calstart	CLEAN TRANSPORTATION, Implementation contractor for	103,347
	CLEANER GREENER COMMUNITIES, CGC54612 - CALSTART	41,586
CAMBA Housing Ventures, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	60,600
Candlewyck Associates LLC	Multifam Performance Pgm, Multifamily	11,972
Candor Central School	>200KW PV, NY Sun	5,690
Capital District Regional Planning Comm.	CGC53356 - CDRPC	0
	CLEANER GREENER COMMUNITIES, CGC53356 - CDRPC	557,674
Carnegie Park Land Holding LLC	NEW CONSTRUCTION PROGRAM, NCP11467 - 92nd Street	143,095
Carsada Dairy	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	7,051
Catskill Mountainkeeper, Inc	CLEANER GREENER COMMUNITIES, CGC39425 - Renewable NY	266,692
Cayuga Meadows Housing Developm..	NEW YORK ENERGY STAR HOMES, New Construction	171,000
CDH Energy Corporation	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	24,674
	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	11,315
	COMBINED HEAT AND POWER, CHP System Inspection	54,905
	Combined Heat and Power, DG Integrated Data System	130,295
	COMBINED HEAT AND POWER, Technical and Logistic Support	14,588
	COMBINED HEAT AND POWER, Technical Review and Program S	7,825
	Community RH&C, Technical Review and Program S	0
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	5,633
	EVALUATION, Technical Review and Program S	51,350
	EXISTING FACILITIES, EFP Task Work Order	8,212
	EXISTING FACILITIES, Technical Review and Program S	113
	Geothermal Incentive Program, Technical Review and Program S	23,124
	Industrial Process Effic, Technical Review and Program S	7,205
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	5,293
CEC Stuyvesant Cove, Inc.	CLEANER GREENER COMMUNITIES, CGC55294 - Solar One	204,728
	NY-SUN, Affordable Solar Predevelopmen	50,504
Center for Sustainable Energy	OTHER PROGRAM AREA, ChargeNY ZEV Rebate Imp Contra	106,225
Centerstate Corporation for	Cleantech Incubator, PON3413 Clean Energy Incubator	80,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, InnovationCap&..	10,000
Central Hudson Gas and Electric Corp..	SMART GRID SYSTEMS, Central Hudson Gas & Electric	738,401
Central New York Regional Planning and	CLEANER GREENER COMMUNITIES, CGC57053 - CNY RPDB	401,173
	OTHER PROGRAM AREA, Central New York Solar	0
	WORKFORCE DEVELOPMENT, Central New York Solar	0
CHA Consulting Inc.	Agriculture Energy Eff Pgm, Technical Review and Program S	18,634
	Combined Heat and Power, Technical Review and Program S	30,284
	EXISTING FACILITIES, Technical Review and Program S	22,062
	Flexible Tech Assistance, FlexTech Consultant CHA	77,918
	Flexible Tech Assistance, FlexTech Consultant Selection	16,126
	Flexible Tech Assistance, Technical Review and Program S	101,462
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	60,755
	Industrial Process Effic, Commercial & Industrial Outrea	193,394
	Industrial Process Effic, Technical Review and Program S	121,081
	INDUSTRIAL PROCESS EFFICIENCY, Commercial & Industrial Outrea	64,156
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	195,900
	On-Site Energy Manager, Commercial & Industrial Outrea	30,203
	On-Site Energy Manager, FlexTech Consultant CHA	218,472

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Contractor	Contract Description	Total Expended Amount
CHA Consulting Inc.	OTHER PROGRAM AREA, FlexTech Consultant CHA	3,961
	Renewable Heat NY, Technical Review and Program S	10,205
	Strategic Energy Manager, Commercial & Industrial Outrea	32,616
Charge CCCV, LLC	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	100,000
Chautauqua County	LARGE SCALE RENEWABLES, Chautauqua LFGE	162,100
Chenango Contracting, Inc.	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3456	1,105,255
ChromaNanoTech LLC	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	50,000
CIR ELECTRICAL CONSTRUCTION CORP.	<200KW PV, NY Sun	35,862
	<200KW PV, NY-Sun	5,088
Citigroup Technology, Inc.	ADVANCED BUILDINGS, EFP/DMP2465 - Citigroup	125,885
	EXISTING FACILITIES, EFP/DMP2465 - Citigroup	1,326,160
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	2,093,038
City of Auburn	LARGE SCALE RENEWABLES, Mill Street Dam Hydro	5,771
City of Buffalo	CLEANER GREENER COMMUNITIES, CGC30922 - City of Buffalo	125,000
City of Cohoes	CLEANER GREENER COMMUNITIES, CGC42156 - City of Cohoes	6,700
City of Cortland	Anaerobic Digesters, ADG-to-Electricity Project	157,103
City of Glens Falls	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	8,063
City Of New York	CLEANER GREENER COMMUNITIES, CGC43226 - New York City	1,154,975
	NEW CONSTRUCTION PROGRAM, CGC43226 - New York City	130,759
City of New York, Dept. of Citywide	>200KW PV, PV System @ NYC School K224	11,230
	>200KW PV, PV System @ NYC School K278	21,878
	>200KW PV, PV System @ NYC School K302	36,130
	>200KW PV, PV System @ NYC School K324	23,899
	>200KW PV, PV System @ NYC School K380	14,015
	>200KW PV, PV System @ NYC School K455	97,453
	>200KW PV, PV System @ NYC School K505	82,906
	>200KW PV, PV System @ NYC School K515	92,411
	>200KW PV, PV System @ NYC School M070	29,061
	>200KW PV, PV System @ NYC School Q072	39,851
	>200KW PV, PV System @ NYC School Q204	26,982
	>200KW PV, PV System @ NYC School Q226	25,851
	>200KW PV, PV System @ NYC School Q237	37,395
	>200KW PV, PV System @ NYC School Q445	36,380
	>200KW PV, PV System @ NYC School Q505	20,091
	>200KW PV, PV System @ NYC School R069	39,985
	>200KW PV, PV System @ NYC School R075	19,748
	>200KW PV, PV System @ NYC School R445	22,497
	>200KW PV, PV System @ NYC School R455	76,379
	>200KW PV, PV System @ NYC School X131	28,460
>200KW PV, PV System @ NYC School X144	34,710	
>200KW PV, PV System @ NYC School X184	33,759	
>200KW PV, PV System @ NYC School X192	19,619	
>200KW PV, PV System @ NYC School X425	19,913	
City of Oswego	CLEANER GREENER COMMUNITIES, CGC40394 - Oswego Complete St	168,250
City of Rensselaer	CLEANER GREENER COMMUNITIES, CGC41631 - City of Rensselaer	3,625
City of Rochester	CLEANER GREENER COMMUNITIES, CGC40988 - City of Rochester	56,250
	NEW CONSTRUCTION PROGRAM, NCP12764 - Public Market Expan	14,420
City Parks Foundation	GREENING THE BRONX, Greening The Bronx	69,738

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Contractor	Contract Description	Total Expended Amount
CJL Engineering	Flexible Tech Assistance, FlexTech Consultant Selection	25,785
Claire Weisz Architects	CLEAN TRANSPORTATION, Optimizing the Curb	75,659
Clarkson Solar, LLC	NY-SUN, New York Sun Competitive PV Pr	204,699
Clarkson Univ., Research Div.	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	110,292
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Transformative ..	30,000
Clarkson University	ENVIRONMENTAL RESEARCH, Guidance for Thermal Storage	18,646
	NEW CONSTRUCTION PROGRAM, NCP14057 - Damon Hall - OFLT	20,000
	RENEWABLE HEAT NY, CO off-gassing pellet storage	23,479
	RENEWABLE HEAT NY, Community Exposure to WS Roch	31,527
	RENEWABLE HEAT NY, Guidance for Thermal Storage	31,951
	RENEWABLES & DER INTEGRATION, Surface-Textured High Voltage	20,000
Clean Energy States Alliance	ENERGY ANALYSIS, Coordination of USDOE Grant	30,027
Clean Technologies A LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	21,384
CLEAResult Consulting, Inc.	>200KW PV, Centralized Services & Support	33,428
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Centralized S..	9,067
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Technical Sup..	13,873
	Commercial New Construc, Centralized Services & Support	0
	EMPOWER NY, Centralized Services & Support	43,520
	EMPOWER NY, Technical Support SFR	8,671
	Geothermal Incentive Program, Centralized Services & Support	27,692
	GJGNY REVOLVING LOAN FUND, GJGNY TIC	-1,384
	Home Perf w Energy Star, Centralized Services & Support	660,056
	Home Perf w Energy Star, Empower QA Services	84,099
	Home Perf w Energy Star, Technical Support SFR	739,701
	HOME PERFORMANCE WITH ENERGY STAR, Centralized Services & Su..	12,693
	HOME PERFORMANCE WITH ENERGY STAR, Technical Support SFR	20,809
	Low Rise New Construction, Centralized Services & Support	19,957
	Multifam New Construction, Centralized Services & Support	15,965
	NEW YORK ENERGY STAR HOMES, Centralized Services & Support	7,976
	NYSERDA ADMINISTRATION, Phone Email & Web Support	48,617
	Underutilized Products, Centralized Services & Support	32,341
Clifton Park LF Solar LLC	NY-SUN, PV System @ Town of Clifton Pa	150,638
ClosedLoops, LLC	CLEAN TRANSPORTATION, Pneumatic Waste Transfer Study	27,326
CNY Solar, Inc.	<200KW PV, NY Sun	36,582
	<200KW PV, NY-Sun	10,944
Code Green Solutions, Inc.	Commercial Real Estate Ten, CodeGreen - 1333 Broadway	5,000
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	45,483
Cogen Power Technologies LLC	SMART GRID SYSTEMS, RFP 3044 R2	36,000
Cogeneration Contractors, Inc.	Combined Heat and Power, CHPA - 66-36 Yellowstone	76,577
	COMBINED HEAT AND POWER, CHPA - 133 Greenwich Marriot	76,577
	Combined Heat and Power, CHPA - Compass Residences 2A	38,610
	Combined Heat and Power, CHPA - Compass Residences 2B	38,610
	COMBINED HEAT AND POWER, CHPA - Kings County Hospital C	495,000
	Combined Heat and Power, CHPA - San Remo	112,774
Cohen Ventures Inc	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, C..	33,558
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, E..	80,260
	Underutilized Products, FlexTech Consultant Selection	106,033
Collegiate Builders	<200KW PV, NY Sun	5,160

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Columbia University	CLEAN TRANSPORTATION, Devel Electrofuels Prototype	3,298
	Industrial Process Effic, Industrial Process Efficiency	68,612
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-Concept..	35,000
Communications Specialists, Inc.	<200KW PV, NY Sun	16,216
Community Access, Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	50,400
Community Environmental Center, Inc.	NEW CONSTRUCTION PROGRAM, NCP TA Contract - ST10135	0
CON EDISON SOLUTIONS, INC.	NY-SUN, Commercial/Industrial	124,093
Concern for Independent Living, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	54,000
Concord Servicing Corporation	GJGNY REVOLVING LOAN FUND, Multifamily	445
	GJGNY REVOLVING LOAN FUND, Products	1,336
Continental Buchanan, LLC	Industrial Process Effic, Industrial Process Efficiency	66,274
Cooper Crouse-Hinds	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	8,529
COR Rensselaer Company III Inc	CLEANER GREENER COMMUNITIES, CGC31256 - COR Inner Harbor	61,000
Cornell Cooperative Ext. Dutchess Co..	CLEANER GREENER COMMUNITIES, CGC40518 - Cornell Coop Ext	87,000
Cornell Cooperative Extension - Tomp..	CLEANER GREENER COMMUNITIES, CGC30635 - Southern Tier Bulk	55,024
Cornell University	ENVIRONMENTAL RESEARCH, Dairy cooling demonstration	13,818
	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	96,813
	ENVIRONMENTAL RESEARCH, improve EE of crop production	8,245
	ENVIRONMENTAL RESEARCH, NY climate clearinghouse	13,500
	NEW CONSTRUCTION PROGRAM, NCP11138 - Cornell NYC Tech	106,840
	OTHER PROGRAM AREA, 76West Building a Clean Energy	706,171
Cornell University-Office of Sponsored P	RENEWABLE HEAT NY, Biomass-Fired Emission Sources	7,264
	SMART GRID SYSTEMS, Anaerobic Digestion Assistance	85,556
Cornerstone Energy Services	Renewable Heat NY, Clean Heating & Cooling	23,000
	Renewable Heat NY, Cornerstone Energy Services	20,000
	Renewable Heat NY, RHNY PON 3010 Incentive - Holm	10,000
Corning Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	29,883
County of Oneida	NEW CONSTRUCTION PROGRAM, NCP12945-Oneida County Office	3,555
	NEW CONSTRUCTION PROGRAM, NCP12949 - MVCC Rome Campus	55,125
Courtney-Strong Inc.	CLEANER GREENER COMMUNITIES, CGC53012 - Courtney Strong	174,409
Covanta Energy	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	300,000
CRE Spruce Haven LLC	ANAEROBIC DIGESTER, RPS CST ADG-to-Electricity Dai	18,885
	NEW CONSTRUCTION PROGRAM, RPS CST ADG-to-Electricity Dai	18,885
Crestwood Lake Heights Section 1 Co..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	50,850
Crestwood Lake Heights Section 2 Co..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	83,250
Crestwood Lake Heights Section 3 Co..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	71,100
Crestwood Lake Heights Section 4 Co..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	36,450
Croton Energy Group, Inc.	<200KW PV, NY Sun	8,750
CUCS Housing Development Fund Co..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	64,800
CUNY Institute for Urban Systems - Cl..	ADVANCED BUILDINGS, Assist operators of BAS	10,400
Currier Plastics	INDUSTRIAL PROCESS EFFICIENCY, Pre-Enc	75,186
Curry Properties LLC	NEW CONSTRUCTION PROGRAM, NCP10093 - Curry Toyota (Curr	14,599
Cutone & Company Consultants, LLC	ADVANCED BUILDINGS, EFP2460 - Cutone - 345 Hudson	75,322
	ADVANCED BUILDINGS, EFP/DMP2499 - Cutone; Fordham	69,600
	EXISTING FACILITIES, EFP/DMP2499 - Cutone; Fordham	44,887
CyrusOne	Industrial Process Effic, Industrial Process Efficiency	46,583
D. F. Brandt, Inc.	Industrial Process Effic, Industrial Process Efficiency	66,618
D.L. English Consulting, Inc.	ENERGY ANALYSIS, Indian Point Consultant	0

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Contractor	Contract Description	Total Expended Amount
D.L. English Consulting, Inc.	OTHER PROGRAM AREA, Indian Point Consultant	303,118
Darling Advertising Agency Inc.	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	0
DealCloud Inc.	NEW YORK GREEN BANK, DealCloud Licensing	1,370
Dentons US LLP	Off-Shore Wind Pre-Dev Act, Green Bank Outside Legal Ser.	25,000
DePaul Properties, Inc.	NEW YORK ENERGY STAR HOMES, New Construction	126,000
Dewberry Engineers Inc	ENVIRONMENTAL RESEARCH, Transportation Climate ADP	47,906
Dick's Merchandising & Supply Chain,...	Commercial New Construc, NCP15047-Conklin Dist Ctr-OFLT	302,151
DJ Acquisition Management	Industrial Process Effic, Industrial Process Efficiency	60,272
DNV GL Energy Services USA Inc.	ENVIRONMENTAL RESEARCH, Building-Resiliency Assessment	37,179
Dolomite Products Group, Inc.	Industrial Process Effic, Industrial Process Efficiency	34,830
Dorado Preservation Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	47,250
Douglas R Jarvis	<200KW PV, NY Sun	5,513
Downtown Ithaca Alliance	CLEAN TRANSPORTATION, Ithaca TDM/TMA Demonstration	12,092
Eagle Creek Hydro Power LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	57,675
East 138th Street, LLC.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	38,400
East Pembroke Fire District	NEW CONSTRUCTION PROGRAM, NCP11478 - East Pembroke Fire	4,786
Eastern Energy Systems Inc.	<200KW PV, NY Sun	8,978
Eastern Research Group, Inc.	ENVIRONMENTAL RESEARCH, Environmental Outreach	60,424
Ecolectro Inc	OTHER PROGRAM AREA, PON3249 ACE-Exploratory resear	50,000
Ecology and Environment Engineering, PC	CLEANER GREENER COMMUNITIES, CGC Implementation Contractor	249,533
	Environmental Research, RFP 3462	0
	Off-Shore Wind Pre-Dev Act, RFP 3462	1,150,130
EcoMarkets LLC	FUEL CELLS, RPS Customer Sited Tier Fuel C	100,000
	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	25,500
Ecova Inc	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, E..	96,238
Ecovis, Inc.	<200KW PV, NY Sun	15,228
EI Puente	CLEANER GREENER COMMUNITIES, Green Jobs Green New York Outr	22,014
Electric Power Research Institute	ENVIRONMENTAL RESEARCH, Climate & future electric syst	39,652
	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	39,713
	SMART GRID SYSTEMS, EPTD Smart Grid	112,772
Electrical Distribution Design, Inc.	DER Integration(Intrcnct), PON 3404 DER Integration	79,600
Emacx Systems, Inc.	EXISTING FACILITIES, EFP2026 - Emacx Systems Inc -	123,990
EMCOR Services Betlem	Flexible Tech Assistance, FlexTech Consultant Selection	16,806
	On-Site Energy Manager, FlexTech Consultant Selection	47,962
EME Consulting Engineering Group, LLC	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	17,500
	Commercial New Construc, EME - EMP	78,906
	EXISTING FACILITIES, Tech Review and Program Staff	73,216
	Flexible Tech Assistance, FlexTech Consultant Selection	15,655
	Flexible Tech Assistance, Tech Review and Program Staff	57,106
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	52,043
	MARKET PATHWAYS, FlexTech Consultant Selection	9,251
	NEW CONSTRUCTION PROGRAM, EME - EMP	19,350
	NEW CONSTRUCTION PROGRAM, Tech Review and Program Staff	20,696
	NY-SUN, Tech Review and Program Staff	79,636
	NYSERDA ADMINISTRATION, Tech Review and Program Staff	32,621
Empire Housing and Development Co..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	11,100
Empire Solar Solutions LLC	<200KW PV, NY Sun	34,480
Empire State College	NEW CONSTRUCTION PROGRAM, NCP12183 - Regional Center Roc	15,352

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Contractor	Contract Description	Total Expended Amount
Empower CES, LLC	<200KW PV, NY Sun	161,211
Enbala Power Networks USA Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, E..	42,150
Eneractive Solutions	Flexible Tech Assistance, FlexTech Consultant EnerActive	60,921
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant EnerActive	173,430
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	70,309
Enercon Services Inc	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3305 Licence Consultat..	235,486
Energetics, Incorporated	CLEAN TRANSPORTATION, Battery LCA for Lev 3 EVSE	15,829
	CLEAN TRANSPORTATION, Electric Vehicle Supply Equipm	0
	CLEAN TRANSPORTATION, Oneida County ITS Study	6,466
	CLEAN TRANSPORTATION, Planning Board EVSE Promotion	12,293
	CLEAN TRANSPORTATION, Strategies for reducing EVSE I	20,049
	CLEAN TRANSPORTATION, Truck Platooning Study	307
	CLEAN TRANSPORTATION, Truck Platooning Workshops	1,650
	CLEANER GREENER COMMUNITIES, Animating the EV market in NYS	445,090
Energy & Resource Solutions, Inc.	ADVANCED BUILDINGS, EFP Task Work Orders	1,391
	ADVANCED BUILDINGS, Technical Review and Program S	1,262
	COMBINED HEAT AND POWER, Technical and Logistic Support	386,822
	Combined Heat and Power, Technical Review and Program S	112,551
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	62,031
	ENERGY ANALYSIS, Renewable Heating Cooling TA	6,332
	EVALUATION, Energy & Resource Sol. TWO	282,425
	EVALUATION, Impact Evaluation Contractor	46,521
	EXISTING FACILITIES, EFP Task Work Orders	2,792
	EXISTING FACILITIES, Technical Review and Program S	137,385
	Flexible Tech Assistance, FlexTech Consultant Selection	19,665
	Industrial Process Effic, Commercial & Industrial Outrea	65,583
	Industrial Process Effic, Energy & Resource Sol. TWO	53,795
	Industrial Process Effic, Technical Review and Program S	52,483
	INDUSTRIAL PROCESS EFFICIENCY, Commercial & Industrial Outrea	16,445
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	149,297
	NEW CONSTRUCTION PROGRAM, NCP TA Contract - ST10131	0
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	14,848
	On-Site Energy Manager, Commercial & Industrial Outrea	10,032
	Rmve Barriers Dist Enrgy Storg, RFP 3407 Categories 2 & 3A	435,540
	Strategic Energy Manager, Commercial & Industrial Outrea	11,100
Energy and Environmental Economics Inc.	>200KW PV, Tech Assist, REV Pool.	12,495
	CLEAN TRANSPORTATION, BCA of EV grid impacts	54,902
	ENERGY ANALYSIS, Tech Assist, REV Pool.	609,016
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Renewable Hea..	49,897
	Mkt Char: Tech Assist, Tech Assist, REV Pool.	246,783
	OTHER PROGRAM AREA, Tech Assist, REV Pool.	43,597
Energy Futures Group, Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	62,923
Energy Improvement Corporation	CLEANER GREENER COMMUNITIES, CGC39896 - EIC	567,986
	MARKET PATHWAYS, Behavioral Demonstrations Prog	87,492
Energy Power investment Company, L..	LARGE SCALE RENEWABLES, Large-Scale Renewables	285,669
Energy Spectrum Inc.	EXISTING FACILITIES, EFP2590- Energy Spectrum;USTA	149,684
Energy Technology Savings, Inc.	Real Time Enrgy Management, Edison Prop-5020 Broadway-RTEM	942
Energty Inc.	Real Time Enrgy Management, Greg Maser--260 Spring--RTEM	5,880

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Contractor	Contract Description	Total Expended Amount
ENrG, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Flexible roll-to-r..	72,942
Ensava, Inc.	Agriculture Energy Eff Pgm, AEEP Implementation Contractor	201,093
	AGRICULTURE ENERGY EFFICIENCY, AEEP Implementation Contractor	70,994
EnterSolar LLC	>200KW PV, NY Sun	216,869
	>200KW PV, NY-Sun C/I	92,409
Environmental Design & Research	Off-Shore Wind Pre-Dev Act, RFP 3462	22,881
Eos Energy Storage, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Rapid Prototypi..	0
EQR-Flatlands, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	94,500
Erdman Anthony & Associates, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	1,989
	Commercial New Construc, EAA - EMP	8,638
	Industrial Process Effic, Technical Review and Program S	4,895
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	1,625
	NEW CONSTRUCTION PROGRAM, EAA - EMP	15,711
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	0
Erie Boulevard Hydropower LP	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	-9,168
	LARGE SCALE RENEWABLES, School Street Hydro Project	72,001
	LARGE SCALE RENEWABLES, Stewarts Bridge Hydro Project	179,063
	REC:CES REC Contracts, 11th Main Tier Solicitation	10,714
Erie County	CLEANER GREENER COMMUNITIES, CGC40859 - Erie County	29,000
ERP Operating Limited Partnership	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	171,500
ESNY-303, LLC	NY-SUN, PV System @ Kinder Morgan Term	249,958
Esplanade Gardens, Inc.	Flexible Tech Assistance, FlexTech Program - PON1746	8,900
ESS Group, Inc.	Off-Shore Wind Pre-Dev Act, RFP 3462	42,583
Essense Partners Inc.	>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	13,923
	OTHER PROGRAM AREA, Marketing Support for NYSERDA	255,741
	Renewable Heat NY, Marketing Support for NYSERDA	25,500
	REV Connect, Marketing Support for NYSERDA	109,214
EthosGen, LLC	OTHER PROGRAM AREA, Technology to Market	150,000
Etsy, Inc.	NEW CONSTRUCTION PROGRAM, NCP13012 - Etsy	39,347
EV Connect Inc.	CLEANER GREENER COMMUNITIES, CGC55811 - EV Connect	190,413
eV2g, LLC	CLEAN TRANSPORTATION, Building-and Grid-Interactive	40,500
Extraterrestrial Materials Inc.	<200KW PV, NY Sun	6,844
EYP Architecture & Engineering, PC	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	786
Finch Paper, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	17,834
Findlay Teller Housing Development F..	COMBINED HEAT AND POWER, Findlay Plaza CHP Demo	129,061
Finger Lakes RC&D Inc.	ENVIRONMENTAL RESEARCH, Grass Combustion Emission Eval	5,584
Finger Lakes ReUse, Inc.	CLEANER GREENER COMMUNITIES, CGC41134 - Finger Lakes ReUse	21,837
Fingerlakes Renewables	<200KW PV, NY Sun	6,840
First Columbia Property Services, LLC	NYSERDA ADMINISTRATION, Property Management Services	104,032
First West 21st Street LLC	NEW CONSTRUCTION PROGRAM, NCP10514 - Chelsea Green (Firs	33,432
Florenton River LLC	<200KW PV, NY Sun	38,204
Fluor Industrial Services	Industrial Process Effic, Industrial Process Efficiency	30,597
Fourth Coast, Inc.	<200KW PV, NY Sun	87,206

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Fourth Coast, Inc.	<200KW PV, NY-Sun	-6,538
Frederick A Proven	<200KW PV, NY Sun	10,560
Freedom Solar Inc.	<200KW PV, NY Sun	73,068
	<200KW PV, NY-Sun	8,120
Friends of the Gardenaerial Inc.	CLEANER GREENER COMMUNITIES, CGC40708 - Rochester EcoDistr	42,793
FS Energy, LLC	Workforce Industry Partnership, PON 3442 Workforce Training	31,508
Fund for Public Health in New York, In..	ENVIRONMENTAL RESEARCH, Climate ADP--Health and Energy	34,444
Fusion Energy Services LLC	<200KW PV, NY Sun	8,568
G. W. Lisk Co. Inc.	Industrial Process Effic, Industrial Process Efficiency	42,801
G.W. Ehrhart, Inc.	Renewable Heat NY, G.W. Ehrhart - Loomis	20,963
	Renewable Heat NY, G.W. Ehrhart, Inc. - George	13,533
	Renewable Heat NY, G.W. Ehrhart, Inc. - Wheatley	16,000
	Renewable Heat NY, RHNY PON 3010 Incentive - Jack	20,611
	Renewable Heat NY, RHNY-PON3010 Incentive-Town of	36,453
G&M Realty I LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	121,500
Garner Environmental Services, Inc.	FUEL NY, Fuel NY Portable Emergency Gen	2,228
Gas Technology Institute	ADVANCED BUILDINGS, Evaluation and Demonstration	28,719
Gaseteria Oil Corp.	FUEL NY, PGI00124 - Gaseteria Oil Corp.	92,802
	FUEL NY, PGI00125 - Gaseteria Oil Corp.	113,389
	FUEL NY, PGI00163 - Gaseteria Oil Corp.	102,233
	FUEL NY, PGI00222 - Gaseteria Oil Corp.	96,263
	FUEL NY, PGI00223 - Gaseteria Oil Corp.	92,071
	FUEL NY, PGI00227 - Gaseteria Oil Corp.	92,227
Gasoline Heaven at Commack Inc	FUEL NY, GSP00430 - Gasoline Heaven at	9,577
	FUEL NY, PGI00202 - Gasoline Heaven at	87,504
GCOM Software LLC	NYSERDA ADMINISTRATION, Salesforce Implementation	565,470
	NYSERDA ADMINISTRATION, Staff Augmentation	271,662
Geatrain Engineering PLLC	Flexible Tech Assistance, FlexTech Consultant Selection	4,453
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	4,220
General Electric International Inc	>200KW PV, Commercial/Industrial PV	271,848
	>200KW PV, NY-Sun CI	81,382
Genesee Region Clean Communities, ..	CLEAN TRANSPORTATION, GRCC will seek proposals for A	343,792
George E Denmark II	<200KW PV, NY Sun	64,794
George J. Martin & Son	<200KW PV, NY Sun	11,067
Gladys K. Lewis Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	31,000
Global Common, LLC	SMART GRID SYSTEMS, RFP 3044 R2	80,000
Global Montello Group Corp.	FUEL NY, PGI00027 - Global Montello Gro	98,215
	FUEL NY, PGI00028 - Global Montello Gro	89,406
	FUEL NY, PGI00209 - Global Montello Gro	75,119
	FUEL NY, PGI00212 - Global Montello Gro	106,904
Global Resource Funding Partners LLC	>200KW PV, NY-Sun	67,793
	NY-SUN, NTP 2 JFK Bloomberg	237,010
	NY-SUN, NY-Sun	328,908
	NY-SUN, Products	537,414
Global Thermostat Operations LLC	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	50,000
Gloversville Housing Authority	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	38,000
Go Solar/Green NY, LLC	<200KW PV, NY Sun	22,890
Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, Facebook-770 Broadway-CommTen	24,989

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Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, Goldman Copeland-1251-CommTen	8,528
	Flexible Tech Assistance, FlexTech Consultant Selection	9,789
	FLEXIBLE TECHNICAL ASSISTANCE, Flexible Technical Assistance	55,781
GPSDC New York Inc	Commercial New Construc, NCP15058 - Northeast Distribut	220,000
Grace Terrace LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,200
GRE Fund II Holdco LLC	>200KW PV, NY Sun C&I	35,429
	>200KW PV, NY-Sun	82,774
	>200KW PV, NY-Sun CI Assignment	34,758
	>200KW PV, NY-Sun Payment assignee	33,482
	NY-SUN, NY-Sun	82,794
Green Charge Networks	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	2,300
Green Hybrid Energy Solutions Inc.	<200KW PV, NY Sun	10,331
	<200KW PV, NY-Sun	10,003
Green Options Buffalo	CLEAN TRANSPORTATION, Bicycling Education Campaign	12,052
Green Street Power Partners LLC	<200KW PV, NY Sun	38,314
	<200KW PV, NY-Sun	241,639
Green Water and Power NYC Electrica..	<200KW PV, NY Sun	5,214
GreenLogic, LLC	<200KW PV, NY Sun	9,100
Greenwood Dairy Farm, LLC	ANAEROBIC DIGESTER, RPS CST ADG to Electricity Pro	33,409
	NEW CONSTRUCTION PROGRAM, RPS CST ADG to Electricity Pro	33,409
Grid City Electric Corp	<200KW PV, NY Sun	30,660
	<200KW PV, NY-Sun	20,233
Group Solar USA	<200KW PV, NY Sun	5,016
Group-S LLC	EXISTING FACILITIES, Existing Facilities Program -	260,188
GWE Project HoldCo 3, LLC	NY-SUN, PV System @ Ithaca College	544,734
H.P. Hood, LLC	COMBINED HEAT AND POWER, FlexTech Program - PON 1746	80,000
Habitat for Humanity - New York City	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	8,550
Halcyon, Inc.	<200KW PV, NY Sun	10,396
Hanna-Haddon Hall LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	11,400
Harbec Inc	INDUSTRIAL PROCESS EFFICIENCY, Existing Facilities - IPE 2	26,909
Hardinge Inc.	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON 1746	10,000
Harold Brian Underwood	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	2,655
Harris Beach PLLC	GJGNY REVOLVING LOAN FUND, RFP 3300 Outside Counsel Servi	13,863
	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Outside Couns..	9,469
Harrison Solar, LLC	NY-SUN, LTF Westchester Solar	117,415
Harvest Power, LLC	<200KW PV, NY Sun	25,710
	<200KW PV, NY-Sun	40,556
Hawaii Energy Connection	<200KW PV, NY Sun	5,830
Hawkins Delafield & Wood LLC	GJGNY REVOLVING LOAN FUND, Bond Counsel Services	57,301
Health Research, Inc.	ENVIRONMENTAL RESEARCH, Heat Vulnerability to Climate	2,442
	RENEWABLE HEAT NY, Ultrafine Particle Emissions	34,765
Heathcote Auto Sales & Leasing Corp	FUEL NY, PGI00146 - Heathcote Auto Sal	46,203
Hebrew Home for the Aged at Riverdale	COMBINED HEAT AND POWER, CHP Performance - PON2701	300,000
Heitmann Builders	Low Rise New Construction, LRNCP - 15 High St - NZE	4,000
Helix Power Corporation	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced Clean..	135,638
HEVO Inc.	CLEAN TRANSPORTATION, Advanced Transportation Tech	31,897
HFC Hudson Fisonic Corp	ADVANCED BUILDINGS, Development of Fisonic Device	66,000
High Howk, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	86,619

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Contractor	Contract Description	Total Expended Amount
High Peaks Solar	<200KW PV, NY-Sun	6,648
	NY-SUN, Commercial/Industrial Program	56,444
High Tech Rochester Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, NYSERDA Entr..	101,613
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-Concep..	682,625
	OTHER PROGRAM AREA, NYSERDA Entrepreneurs-in-Resid	33,017
Highland Hospital	NEW CONSTRUCTION PROGRAM, NCP12837 - Highland Hospital T	58,955
Hillside Associates of Albany LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	111,700
Hobart and William Smith Colleges	>200KW PV, commercial/industrial pv	179,640
Holland & Knight LLP	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	183,576
	ZEC:CES ZEC Pgm Non-Rec Exp, RFP 3300 & RFP 3776 Outside Co	1,317
Holmes Acre, LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	15,346
Home Headquarters, Inc.	CLEANER GREENER COMMUNITIES, CGC38740 - Home Headquarters	5,000
Honeywell International Inc.	EMPOWER NY, Program Implementation Service	71,946
	Home Perf w Energy Star, Program Implementation Service	390,523
	RENEWABLE HEAT NY, RHHNY Pellet Stove QA Services	5,598
Housing Visions Unlimited, Inc.	NEW YORK ENERGY STAR HOMES, New Construction	150,000
Howard Wind LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	124,838
	LARGE SCALE RENEWABLES, Howard Wind Farm	1,070,073
	LARGE SCALE RENEWABLES, Howard Wind Farm - Expansion	148,998
HPP NY I	NY-SUN, FedEx Phase 2	74,930
	NY-SUN, PV System @ Fed Ex 29-01 Borde	55,864
Hudson River Trading	Industrial Process Effic, Industrial Process Efficiency	234,004
Hudson Solar	<200KW PV, NY Sun	55,637
	<200KW PV, NY-Sun	70,447
Hudson Valley Wind Energy, LLC	<200KW PV, NY Sun	5,328
Hydronic Specialty Supply	RENEWABLE HEAT NY, Smart Pre-Assembly for Boilers	30,000
Hyland Facility Associates	LARGE SCALE RENEWABLES, RFP 2226-RPS Purchase of RE At	202,052
I-Square, LLC	CLEANER GREENER COMMUNITIES, CGC32476 - I-Square	462,386
IBM - East Fishkill Site	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	188,244
IBM Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	37,588
	INDUSTRIAL PROCESS EFFICIENCY, Pre-Enc	29,738
ICF Jones & Stokes	ENVIRONMENTAL RESEARCH, NYS Energy Research and Develo	70,959
ICF Resources, LLC	ADVANCED BUILDINGS, Flex Energy Tech Analysis 2	2,983
	ADVANCED ENERGY CODES, ECode Microsite	30,024
	Commercial Imp Assist, Technical Review and Program S	5,546
	ENERGY ANALYSIS, Flex Energy Tech Analysis 2	86,044
	ENERGY ANALYSIS, Tech Assist, REV Pool	99,020
	EXISTING FACILITIES, Technical Review and Program S	14,750
	Off-Shore Wind Pre-Dev Act, Flex Energy Tech Analysis 2	111,762
	OTHER PROGRAM AREA, Flex Energy Tech Analysis 2	27,727
OTHER PROGRAM AREA, Tech Assist, REV Pool	3,693	
	REC:CES REC System Dev Costs, Flex Energy Tech Analysis 2	0
iCone Products, LLC	CLEAN TRANSPORTATION, Connecting WNY Work Zones	124,750
Incorporated Village of Laurel Hollow	CLEANER GREENER COMMUNITIES, Laurel Hollow	12,500
Incorporated Village of Oyster Bay Co..	CLEANER GREENER COMMUNITIES, Oyster Bay Cove	12,500
Industrial Economics, Incorporated	ENERGY ANALYSIS, Flex Energy Tech Analysis 2	0
	EVALUATION, Flex Energy Tech Analysis 2	0
	SMART GRID SYSTEMS, Flex Energy Tech Analysis 2	35,936

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Contractor	Contract Description	Total Expended Amount
INF Associates LLC	Commercial Real Estate Ten, INF Associates-655 Third Av-CT	49,527
	Commercial Real Estate Ten, INF Associates-733 3rd Ave-CT	35,509
Infinity Solar Systems, LLC	<200KW PV, NY Sun	10,333
Infosys International Inc	NYSERDA ADMINISTRATION, RFP3365 Private Cloud Hosting	165,529
Innovative Energy Systems, LLC	LARGE SCALE RENEWABLES, DANC LFGE	248,976
Institute for Building Technology and Sa	<200KW PV, RFQL 3434 IBTS Standards & QA	27,376
	ADVANCED ENERGY CODES, Energy Code Training: EPros	79,996
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RFQL 3434 IB..	3,640
	COMMUNITY SOLAR, RFQL 3434 IBTS Standards & QA	6,857
	EMPOWER NY, RFQL 3434 IBTS Standards & QA	15,054
	Home Perf w Energy Star, RFQL 3434 IBTS Standards & QA	201,311
	HOME PERFORMANCE WITH ENERGY STAR, RFQL 3434 IBTS Standar..	3,276
	NY-SUN, RFQL 3434 IBTS Standards & QA	209,214
Integral Building & Design, Inc.	ADVANCED BUILDINGS, RetroFitting for Resiliency	10,000
Integrated Solar Technology, LLC	OTHER PROGRAM AREA, Technology to Market	200,000
International Electronic Machines Corp.,	CLEAN TRANSPORTATION, Noncontact Elect. Wheel Gauge	99,290
	CLEAN TRANSPORTATION, Optical Wheel Flaw Detection	41,214
	CLEAN TRANSPORTATION, WISE Wheel Profile Demo	184,056
Intrepid Museum Foundation	COMBINED HEAT AND POWER, Distributed Generation as CHP	30,000
Intrinsiq Materials, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EEM of Printed ..	12,000
Inverters Unlimited, Inc.	<200KW PV, NY Sun	9,426
IPPsolar Integration LLC	<200KW PV, NY-Sun	45,157
Irving Tissue, Inc	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	130,207
Island House Tenants Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	90,410
Ithaca College	ADVANCED BUILDINGS, Contractor-Led Social Marketin	35,060
	Flexible Tech Assistance, FlexTech Program - PON1746V3	15,833
Ithaca Neighborhood Housing Service..	CLEANER GREENER COMMUNITIES, CGC52863 - Ithaca NHS	189,038
J & D I Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	53,000
J. Ranck Electric, Inc.	>200KW PV, Commercial/Industrial	77,236
Janus Solar Fund LP	NY-SUN, PV System at Janus Solar Fund	461,548
Jasper Van den Munckhof	Retrofit NY, Multifamily	16,350
JAV Petroleum	FUEL NY, PGI00176 - JAV Petroleum	95,450
Jewish Home of Rochester	NEW CONSTRUCTION PROGRAM, NCP12720 - The Green Houses	28,323
Joan Raiselis	Low Rise New Construction, New Construction	5,500
John Siegenthaler	WORKFORCE DEVELOPMENT, RFP 3165 Hydronic System Desig	66,954
Johnson Controls Inc.	Flexible Tech Assistance, FlexTech Consultant Selection	30,328
JPMartin Energy Strategy LLC	OTHER PROGRAM AREA, PON 3249 ACE--Lithium research	25,495
JPMorgan Chase Bank National Association	EXISTING FACILITIES, EFP2380 - JPMorgan Chase - Mul	15,829
	EXISTING FACILITIES, EFP2557 - JPMorgan Chase - Mul	2,340,012
Kallen & Lemelson Consulting Engine..	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	859
Karpman Consulting, LLC	ADVANCED ENERGY CODES, Ecode Performance Enforcement	25,000
	Commercial New Construc, Model Quality Assurance for NC	23,983
Kasselmann Solar LLC	<200KW PV, NY Sun	143,956
	<200KW PV, NY-Sun	24,508
Kelleher Samets Volk	Commercial Imp Assist, Marketing Support for NYSERDA	2,134
	Commercial Real Estate Ten, Marketing Support for NYSERDA	84,814
	Community RH&C, Marketing Support for NYSERDA	25,065
	ENERGY ANALYSIS, Marketing Support for NYSERDA	90,415

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Contractor	Contract Description	Total Expended Amount
Kelleher Samets Volk	Flexible Tech Assistance, Marketing Support for NYSERDA	40,052
	Geothermal Incentive Program, Marketing Support for NYSERDA	25,065
	Home Perf w Energy Star, Marketing Support for NYSERDA	33,501
	Multifam Performance Pgm, Marketing Support for NYSERDA	48,266
	NY-SUN, Marketing Support for NYSERDA	136,171
	On-Site Energy Manager, Marketing Support for NYSERDA	5,815
	Real Time Enrgy Management, Marketing Support for NYSERDA	51,557
	Retrofit NY, Marketing Support for NYSERDA	107,131
	REV Campus Challenge, Marketing Support for NYSERDA	22,450
	REVitalize, Marketing Support for NYSERDA	11,619
	Strategic Energy Manager, Marketing Support for NYSERDA	32,821
	Underutilized Products, Marketing Support for NYSERDA	53,509
KEMA Incorporated	EVALUATION, RFQ 3183 KEMA, Inc	151,720
Kema Services, Inc.	ADVANCED BUILDINGS, Evaluation Oversight Services	63,305
Kendal at Ithaca	NEW CONSTRUCTION PROGRAM, NCP11900 - Kendal Ithaca	18,554
Kevin J Creamer	<200KW PV, NY Sun	36,346
Kilowatt Engineering, Inc.	Commercial Real Estate Ten, FlexTech Consultant Selection	9,936
	EXISTING FACILITIES, Technical Review and Program S	1,230
	Industrial Process Effic, Technical Review and Program S	19,778
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	6,856
Kingsborough Apartments, LP	RENEWABLE THERMAL, Clean Heating & Cooling	58,969
Kingston, City of	CLEANER GREENER COMMUNITIES, CGC29936 - City of Kingston	5,332
Kirchhoff Green Energy, LLC	<200KW PV, NY Sun	10,000
KLD Engineering, P.C.	CLEAN TRANSPORTATION, ICM Framework Suffolk County	9,685
	CLEAN TRANSPORTATION, Transportation Resiliency	8,684
Knollcrest Apartment Associate, L.P.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	27,000
KPMG LLP	NEW YORK GREEN BANK, Audit Services	23,750
	NYSERDA ADMINISTRATION, Audit Services	-23,750
L&S Energy Services, Inc.	>200KW PV, Technical Review and Program S	10,938
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	61,985
	COMBINED HEAT AND POWER, Technical Review and Program S	21,728
	Commercial Real Estate Ten, FlexTech Consultant Selection	9,894
	EXISTING FACILITIES, Technical Review and Program S	11,017
	Flexible Tech Assistance, FlexTech Consultant Selection	3,248
	Flexible Tech Assistance, Technical Review and Program S	123,079
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	2,607
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	94,587
	Geothermal Incentive Program, Technical Review and Program S	39,051
	GJGNY REVOLVING LOAN FUND, Technical Review and Program S	9,539
	Industrial Process Effic, Technical Review and Program S	55,219
	INDUSTRIAL PROCESS EFFICIENCY, .	211
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	39,647
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	29,926
	Renewable Heat NY, Technical Review and Program S	4,980
REV Campus Challenge, Technical Review and Program S	8,471	
LaBella Associates, P.C.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	6,136
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	29,124
	EXISTING FACILITIES, Technical Review and Program S	4,487

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Contractor	Contract Description	Total Expended Amount
LaBella Associates, P.C.	Flexible Tech Assistance, Novus PO Assignment	2,052
	GJGNY REVOLVING LOAN FUND, Technical Review and Program S	102
	Industrial Process Effic, Technical Review and Program S	642
	NEW CONSTRUCTION PROGRAM, New Construction	10,312
	REV Campus Challenge, Novus PO Assignment	5,390
Laertes Solar, LLC	NY-SUN, Cornell - Harford	431,924
Lafarge Building Materials	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	823,036
Lake Beverage Corporation	NY-SUN, Commercial/Industrial	47,233
Lake Breeze Fruit Farms Inc	>200KW PV, NY Sun	89,813
LC DRives	OTHER PROGRAM AREA, PON 3249 ACE	225,000
LED Specialists Inc	ADVANCED BUILDINGS, Advanced Buildings Technology	89,071
Leon Petroleum	FUEL NY, PGI00029 - Leon Petroleum	93,284
Leviton Manufacturing Co, Inc.	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	40,296
Lewis Custom Homes, Inc.	Low Rise New Construction, New Construction	16,900
Lifetime Housing Development Corp.	Low Rise New Construction, New Construction	54,600
Lockheed Martin Corporation	MARKET PATHWAYS, Products Program	9,644
Lockheed Martin NE & SS	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	106,980
Long Island High Technology Incubat..	Cleantech Incubator, PON3413 Clean Energy Incubator	50,000
Long Island Power Authority	NY-SUN, LIPA MOU RGGI Compliance Progr	17,300,000
Lono LLC	Geothermal Incentive Program, Large-Scale GSHP Rebate	24,000
Lotus Energy, Inc.	<200KW PV, NY Sun	34,583
	<200KW PV, NY-Sun	34,800
Louis T. Wright HDFC	NEW YORK ENERGY STAR HOMES, New Construction	22,500
Lowe's Home Centers Inc	Commercial New Construc, NCP15006 - Lowe's of Yonkers	48,369
Luthin Associates, Inc.	REV Campus Challenge, C&I Buildings Outreach	67,266
Lynns Place Housing Development Fu..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	41,400
M. Arthur Gensler Jr. & Associates Inc.	MARKET PATHWAYS, CRETP - Gensler - 1700 Broadwa	109,156
M.J. Bradley & Associates	CLEAN TRANSPORTATION, BCA of EV grid impacts	20,704
M/E Engineering, P.C.	Commercial Imp Assist, Technical Review and Program S	2,110
	Commercial New Construc, M/E - EMP	12,863
	Flexible Tech Assistance, FlexTech Consultant Selection	157,094
	Industrial Process Effic, Technical Review and Program S	8,550
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	9,425
	NEW CONSTRUCTION PROGRAM, M/E - EMP	4,793
Malcolm Pirnie, Inc.	COMBINED HEAT AND POWER, EFP Task Work Orders	1,469
	EXISTING FACILITIES, EFP Task Work Orders	816
Malta Development Company Inc	NEW YORK ENERGY STAR HOMES, New Construction	36,000
Marble River Wind Farm LLC	LARGE SCALE RENEWABLES, Marble River Wind Farm	5,954,847
Marsh Hill Energy, LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	814,932
Marshall & Sterling, Inc.	NYSERDA ADMINISTRATION, Property Liability and Other	69,528
Matthew Brennan	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	5,710
Max Solar Inc	<200KW PV, NY Sun	8,750
McMahon and Mann Consulting Engin..	WEST VALLEY DEVELOPMENT PROGRAM, Engineering Services WV	1,561
Mechanical Solutions, Inc.	ADVANCED BUILDINGS, Super Charger for Cold Climate	50,000
Meister Consultants Group, Inc.	COMMUNITY SOLAR, NY-SUN PVBOS Training and Educ	6,537
	NY-SUN, NY-SUN PVBOS Training and Educ	125,348
	WORKFORCE DEVELOPMENT, NY-SUN PVBOS Training and Educ	321,413
Memorial Hospital for Cancer & Allied ..	NEW CONSTRUCTION PROGRAM, NCP10642 - Ambulatory Surgery	58,213

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Memorial Sloan Kettering Cancer Cent..	Workforce Industry Partnership, PON 3442 Workforce Training	108,000
MEP Geothermal Engineering, PLLC	Geothermal Incentive Program, GSHP Incentive	47,400
Mercury Solar Systems, Inc.	NY-SUN, RPS CST Regional Program	180,023
Mesa Bioenergy Supply, LLC	CLEANER GREENER COMMUNITIES, CGC32404 Reassignment to MESA	267,209
Metropolitan Washington Council	OTHER PROGRAM AREA, DOE UER - MWCOG	2,630
Metropool, Inc.	CLEAN TRANSPORTATION, Tri-Cities Mobility Challenge	34,540
Micatu, Inc.	High Performing Grid, PON 3397 CAT D	700,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced Clean..	144,932
	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	250,000
	SMART GRID SYSTEMS, EPTD Smart Grid Round 2	4,610
Michaels Energy, Inc.	Industrial Process Effic, RFQ 3183 Michaels Energy	81,646
Mill Street Housing, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	25,200
Milton P. Enstine & Sons, Inc.	FUEL NY, PGI00110 - Milton P. Enstine &	15,280
mindSHIFT Technologies, Inc.	NYSERDA ADMINISTRATION, Website Development	99,553
MJW Technical Services, Inc.	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection Support	184,563
MLK Plaza LLC	Multifam New Construction, PPES T2 MLK Plaza	25,000
Mohawk Innovative Technology, Inc.	OTHER PROGRAM AREA, PON 3249 ACE	55,000
Mohawk Valley Solar Partners, LLC	NY-SUN, PV System @ Mohawk Valley Comm	333,855
Molecular Glasses, Inc.	OTHER PROGRAM AREA, Technology to Market	125,000
Molloy College	CLEANER GREENER COMMUNITIES, CGC42044 - Molloy College	356,695
Monolith Solar Associates, LLC	<200KW PV, NY Sun	458,995
	<200KW PV, NY-Sun	1,542,363
	<200KW PV, RES-NewConst(no longer in use)	941,952
Morgan Cos Management LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	136,000
Morgan Stanley Services Holding, LLC	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	118,860
Morton Salt Inc	Industrial Process Effic, Industrial Process Efficiency	67,535
Mosholu Petro Realty LLC	FUEL NY, PGI00068 - Mosholu Petro Real	95,452
Mount Sinai Medical Center	ADVANCED BUILDINGS, EFP2394 - Mount Sinai Medical	44,206
	EXISTING FACILITIES, EFP2394 - Mount Sinai Medical	453,477
	EXISTING FACILITIES, PON1219EE5	128,473
MP Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	28,380
Nalge Nunc International Corp.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	12,655
NanoAnalytics Inc.	RENEWABLE HEAT NY, Wood Combustion Nanoparticles	4,873
Nassau County, Dept. of Public Works	SMART GRID SYSTEMS, Village of East Rockaway	99,831
National Economic Research	ENERGY ANALYSIS, Tech Assist, REV Pool	50,000
	Mkt Char: Tech Assist, Tech Assist, REV Pool	149,757
	OTHER PROGRAM AREA, Tech Assist, REV Pool	50,000
NationalGrid Energy Management, LLC	<200KW PV, NY Sun	15,015
	NY-SUN, New York Sun Competitive PV Pr	34,052
Navigant Consulting Inc.	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	45,911
	REV Connect, REV Connect	565,267
NECEC Institute	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cleantech Com..	13,000
NESCAUM	ENVIRONMENTAL RESEARCH, Performance of Biomass-fired	2,743
	OTHER PROGRAM AREA, Tech Assist, REV Pool	26,491
	RENEWABLE HEAT NY, Mobile Woodsmoke PM Monitoring	24,945
	RENEWABLE HEAT NY, Next Gen Test Methods Research	62,459
	RENEWABLE HEAT NY, Tech Assist, REV Pool	93,917
	RENEWABLE HEAT NY, Wood Pellet Standard	44,572

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New England Waste Services of NY Inc.	LARGE SCALE RENEWABLES, Clinton Co. Landfill	75,595
New Hope View Farm	ANAEROBIC DIGESTER, PON 2684 - RPS CST ADG-to-Elec	60,773
New York Academy of Sciences	EVALUATION, Innovation and Business Develo	41,201
	OTHER PROGRAM AREA, Innovation and Business Develo	68,119
New York Battery and Energy Storage	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 3B	188,695
New York Power Authority	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSERDA-NYPA	77,950
New York Power Authority,	SMART GRID SYSTEMS, City of NY, Brooklyn, NY Prize	100,000
New York Restoration Project	GREENING THE BRONX, Greening The Bronx	151,129
New York State Catholic Healthplan, I..	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	80,150
New York State Marine	CLEAN TRANSPORTATION, NYS Canal Marine Freight	784
New York State Solar Farm Inc.	<200KW PV, NY Sun	30,710
New York University	ADVANCED BUILDINGS, EFP1567 - New York University	110,400
	Cleantech Incubator, PON3413 Clean Energy Incubator	30,000
	EXISTING FACILITIES, EFP/DMP2299 - NYU	1,152,954
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Clean Tech Tra..	73,000
New York University Langone Medical..	EXISTING FACILITIES, EFP2408 - New York University	105,743
Newcastle Home Construction	Low Rise New Construction, New Construction	5,000
Newport Ventures, Inc.	ADVANCED ENERGY CODES, Energy Code Training	248,200
Nexant, Incorporated	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	4,928
	EXISTING FACILITIES, Technical Review and Program S	2,260
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	8,269
	Industrial Process Effic, Technical Review and Program S	2,273
Niagara Frontier Transportation Authorit	CLEAN TRANSPORTATION, Buffalo Niagara TMA	99,528
	CLEAN TRANSPORTATION, Integrated Corridor Management	64,370
NIC Holding Corp	FUEL NY, NYS Strategic Gasoline Reserve	256,935
Nickels Energy Solutions LLC	<200KW PV, NY Sun	16,662
Nite Homes HDFC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	1,350
NJP Consulting Inc.	<200KW PV, NY Sun	7,840
	<200KW PV, NY-Sun	5,480
Noble Wethersfield Windpark, LLC	LARGE SCALE RENEWABLES, Smart Grid Syst & Dist Eng Int	2,275,407
Norampac, Ind., Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	69,633
Noresco LLC	Commercial Real Estate Ten, NORESCO-55 Water St-CRE Tenant	29,329
Normandeau Associates, Inc.	ENVIRONMENTAL RESEARCH, Digital Aerial Baseline Survey	852,408
Normandy Owners Corporation	Flexible Tech Assistance, FT11529 - Orsid Realty - Norma	25,000
North Riverdale Merchant and Busine..	CLEANER GREENER COMMUNITIES, CGC39588 - Riverdale	6,500
North Shore Long Island Jewish Healt..	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	161,057
Northeast Agriculture Technology Corp	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	22,454
Northeast States for Coordinated Air ..	ENVIRONMENTAL RESEARCH, NY climate clearinghouse	49,589
Northeast Wind Partners II LLC	LARGE SCALE RENEWABLES, Smart Grid Syst & Dist Eng Int	146,636
	LARGE SCALE RENEWABLES, Steel Winds II	266,460
Northern Plains Power Technologies	DER Integration(Intrcnct), PON 3404 DER Integration	40,000
Norwood-Norfolk Central School Distr..	NEW CONSTRUCTION PROGRAM, NCP12920 - Norwood Norfolk CSD	44,554
Novel Approaches Solar Applications,..	<200KW PV, NY Sun	21,132
Novorocs Technologies LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced Clean..	0
NY Delaware I, LLC	>200KW PV, NY-Sun C/I	320,419
NYC & Lower Hudson Valley Clean Co..	CLEAN TRANSPORTATION, Electric Vehicle Supply Equipm	27,525
NYC Climate Action Alliance Inc.	Commercial Real Estate Ten, NYC Climate Alliance - CT	4,075
NYC Partnership Housing Dev. Fund ..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	48,000

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NYS Dept of Corrections &	NEW CONSTRUCTION PROGRAM, NCP13104 - Upstate Training Bu	8,371
NYS Office of Parks, Recreation and	<200KW PV, NY Sun	20,880
	<200KW PV, NY-Sun	51,255
NYS School Facilities Association, Inc.	Workforce Industry Partnership, PON 3442 Workforce Training	92,214
NYU Langone Hospitals	EXISTING FACILITIES, EFP1899 - NYU Langone Medical	225,648
O'Brien & Gere Engineers, Inc.	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	9,782
O'Connell Electric Company	<200KW PV, NY Sun	24,716
Oakvale Construction Co. Ltd.	LARGE SCALE RENEWABLES, Black Brook Hydro	15,425
OK Petroleum Distribution Corp	FUEL NY, PGI00089 - OK Petroleum Distri	82,959
	FUEL NY, PGI00092 - OK Petroleum Distri	87,365
OLA Consulting Engineers, P.C.	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	23,510
OLEDWorks LLC	ADVANCED BUILDINGS, OLED Panel and Luminaire	65,421
	ADVANCED BUILDINGS, White OLED Light Panels	257,054
Omniafiltra	Industrial Process Effic, Industrial Process Efficiency	40,964
Omnicap Group, LLC	GJGNY REVOLVING LOAN FUND, Financial Advisory Services	60,810
OnForce Solar	<200KW PV, NY Sun	33,158
	NY-SUN, RPS CST Regional Program	74,293
Open Market ESCO LLC	CLEANER GREENER COMMUNITIES, CGC41141 - Sibley Redev.	1,308,886
Opinion Dynamics Corporation	EVALUATION, Commercial Statewide Baseline	312,029
	Real Time Enrgy Management, Opinion Dynamics Corp	136,963
	Remote Energy Management, Opinion Dynamics Corp	0
Optimized Thermal Systems Inc.	ADVANCED BUILDINGS, Energy Storage for Cooling	221
Orange and Rockland Utilities, Inc.	SMART GRID SYSTEMS, EPTD Smart Grid	190,172
	SMART GRID SYSTEMS, Smart Distribution Automation	774,000
Owego Apalachin CSD	NEW CONSTRUCTION PROGRAM, NCP11320 - Owego School	173,126
OwnSolar, LLC	>200KW PV, Commercial/Industrial PV	66,294
Pace University	NEW CONSTRUCTION PROGRAM, NCP12269 - Pace Residence Hall	247,474
Pace University School of Law	CLEANER GREENER COMMUNITIES, CGC31911 - Pace Law School	42,820
Palladia, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	75,600
Paradise Energy Solutions, LLC	<200KW PV, NY Sun	154,127
Park Monroe II Rehab HDFC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	5,550
Partners in Community Development	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	560,482
Pathfinder Engineers & Architects, LLP	Commercial New Construc, Pathfinder - EMP	27,409
	Flexible Tech Assistance, FlexTech Consultant Selection	17,024
	NEW CONSTRUCTION PROGRAM, Pathfinder - EMP	5,388
Pathstone Corporation	Community Energy Engagement, CEEP Finger Lakes Region (PATH	25,612
PathStone Development Corporation	NEW YORK ENERGY STAR HOMES, New Construction	83,500
Pattersun 1.3 LLC	NY-SUN, PV System @ Watchtower Bible T	362,334
PatterSun NY LLC	NY-SUN, PV System at Patterson Landfil	46,188
PCH Energy, LLC	NY-SUN, PV System @ President Containe	230,038
PCMH Gates Housing Development F..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,800
PDJ Inc	INDUSTRIAL PROCESS EFFICIENCY, DG CHP at Buyea Road Kiln	5,925
People Community Housing Develop..	NEW YORK ENERGY STAR HOMES, New Construction	77,000
Peter Reynolds	Low Rise New Construction, New Construction	5,000
Peter Tavino PE PC	Geothermal Incentive Program, Large-Scale GSHP Rebate	5,342
Petrogas Group US Inc.	FUEL NY, PGI00237 - Petrogas Group US I	97,500
PlugPV, LLC	<200KW PV, NY Sun	6,000
	<200KW PV, NY-Sun	9,573

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Contractor	Contract Description	Total Expended Amount
PMG Northeast LLC	FUEL NY, PGI00018 - PMG Northeast LLC	75,260
	FUEL NY, PGI00019 - PMG Northeast LLC	75,609
	FUEL NY, PGI00080 - PMG Northeast LLC	81,975
	FUEL NY, PGI00081 - PMG Northeast LLC	60,153
	FUEL NY, PGI00120 - PMG Northeast LLC	78,375
	FUEL NY, PGI00130 - PMG Northeast LLC	70,963
	FUEL NY, PGI00137 - PMG Northeast LLC	116,374
	FUEL NY, PGI00173 - PMG Northeast LLC	79,921
	FUEL NY, PGI00178 - PMG Northeast LLC	71,492
	FUEL NY, PGI00179 - PMG Northeast LLC	69,352
	FUEL NY, PGI00192 - PMG Northeast LLC	82,751
	FUEL NY, PGI00200 - PMG Northeast LLC	74,533
	FUEL NY, PGI00264 - PMG Northeast LLC	83,707
	FUEL NY, PGI00266 - PMG Northeast LLC	84,234
Polytechnic University,	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-Concept..	272,500
Poseidon Systems, LLC	CLEAN TRANSPORTATION, Renewable, Clean Energy and En	417,371
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced Clean..	12,500
Powder Mill Land Co., LLC	Commercial Imp Assist, CIAP004 - Powder Mill Land Co.	34,818
	Commercial Imp Assist, CIAP005 - Powder Mill Land Co.	26,999
Power Management Co., LLC	EXISTING FACILITIES, EFP2640 - Power Management	14,414
Powerhouse Dynamics, Inc	Real Time Enrgy Management, TexasRoadhouse-MultiSites-RTEM	25,254
Pratt & Whitney Advanced Coating Te..	NEW CONSTRUCTION PROGRAM, NCP12483 - Spray Manufacturing	6,551
Praxis Housing Initiatives, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	39,600
President Container Group II, LLC	Industrial Process Effic, Industrial Process Efficiency	27,085
Prima Terra Properties LLC	NEW CONSTRUCTION PROGRAM, NCP14035 - Hampton Inn & Suite	40,790
Pro Custom Solar LLC	<200KW PV, NY Sun	6,832
Promenade Global LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	47,700
Promesa Housing Development Fund Corp	GREEN AFFORDABLE HOUSING, Multifamily	6,276
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	12,853
Pterra, LLC	DER Integration(Intrcnct), FlexTech Consultant Selection	74,240
	DER Integration(Intrcnct), PON 3404 DER Integration	139,830
Purves Street Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	80,400
Pyramid Company of Onondaga	Commercial New Construc, NCP15002 - Destiny USA Hotel	40,522
Quanta Technology LLC	Off-Shore Wind Pre-Dev Act, RFP 3462	156,406
Quixotic Systems, Inc.	<200KW PV, NY-Sun	45,026
QwikSolar, LLC	<200KW PV, NY Sun	44,481
	<200KW PV, NY-Sun	16,841
R & B Qualtiy Electric, Inc.	<200KW PV, NY Sun	10,150
R T Vanderbilt Co Inc	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	40,143
R3 Energy Management Audit & Review, LLC	Real Time Enrgy Management, P Clabby-110 East 59th St-RTEM	14,850
	Real Time Enrgy Management, Resnick&Sons-485MadisonAv-RTEM	17,250
	Real Time Enrgy Management, SteinbergPokoik-1430Brdwy-RTEM	17,696
R-Display and Lighting LLC	ADVANCED BUILDINGS, Advanced Buildings Technology	44,213
Radiator Labs Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, E..	80,941
RD & Associates Consulting LLC	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	79,804
Real Goods Energy Tech, Inc	<200KW PV, NY Sun	22,544
Red Hook Solar Corp	<200KW PV, NY Sun	177,756
ReEnergy Black River LLC	LARGE SCALE RENEWABLES, Black River Facility	5,527,764

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Contractor	Contract Description	Total Expended Amount
Regents of the University of Michigan	ENVIRONMENTAL RESEARCH, Cloudwater Chemistry	50
Renovus Energy, Inc.	<200KW PV, NY Sun	151,728
	<200KW PV, NY-Sun	12,416
	>200KW PV, Commercial/industrial PV	34,183
	>200KW PV, NY Sun	46,981
Rensselaer Polytechnic Institute	CLEAN TRANSPORTATION, Off Hour Delivery Trusted Vend	46,646
	CLEAN TRANSPORTATION, RPI - PON 3198	29,877
	High Performing Grid, PON 3397 CAT A	3,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced Clean..	59,407
Rensselaer Polytechnic Institute-LRC	ADVANCED BUILDINGS, Desktop Lighting Control	23,000
	ADVANCED BUILDINGS, EE LED Lighting Controls	82,815
	CLEAN TRANSPORTATION, LED Roadway Lighting Demo	60,679
Research Foundation of CUNY	CLEAN TRANSPORTATION, Freight in Complete Streets	2,039
	CLEAN TRANSPORTATION, HPTM Waterborne Transport	0
	CLEAN TRANSPORTATION, Social media as incident mgmt	3,693
	ENVIRONMENTAL RESEARCH, Integrated Air Quality Monitor	22,595
	ENVIRONMENTAL RESEARCH, Optical Assessment of CMAQ	7,000
Research Foundation of SUNY	CLEAN TRANSPORTATION, Clean Energy Business Incubato	0
	ENVIRONMENTAL RESEARCH, Combining Measurements and Mod	50,923
	ENVIRONMENTAL RESEARCH, IDEA-NYS air quality forecast	90,270
	ENVIRONMENTAL RESEARCH, Seiche in Eastern Lake Erie	17,337
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Clean Energy B..	192,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EFRC co-funding	55,814
	NEW CONSTRUCTION PROGRAM, NCP11296 - Zero Energy Nano	188,056
	OTHER PROGRAM AREA, Regional Economic Development	54,571
	RENEWABLE HEAT NY, College woodstove design team	7,412
Research Foundation of SUNY (Buffal..	RENEWABLE HEAT NY, College Woodstove design team	2,818
Research Foundation of The City	ENVIRONMENTAL RESEARCH, Coastal monitoring framework	13,216
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Birnessite for Gr..	68,616
	RENEWABLES & DER INTEGRATION, Environmentally Preferred Powe	10,326
Research Into Action, Inc.	ADVANCED BUILDINGS, Pilot Evaluation Services	458
	Clean Energy Communities, Research Into Action TWO	2,320
	Cleantech Startup Growth, Research Into Action TWO	43,231
	Energy Storage Tech/Prod Dev, Research Into Action TWO	0
	REVitalize, Research Into Action TWO	26,852
	Rmve Barriers Dist Enrgy Storg, Research Into Action TWO	2,665
	Workforce Industry Partnership, Research Into Action TWO	119,392
Riseboro Community Partnership, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	31,000
	NY-SUN, Affordable Solar Predevelopmen	40,000
	Workforce Industry Partnership, PON 3442 Workforce Training	15,577
Robert A. Kanauer Jr.	<200KW PV, NY-Sun	7,209
Robert Derector Associates	Commercial Real Estate Ten, 200 Madison Ave - CRE Tennant	7,150
	Commercial Real Estate Ten, THilfiger-285Madison-CRETenant	12,790
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	9,388
	MARKET PATHWAYS, CRETP - Robert Derector Associ	7,398
Rochester Institute of Technology	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, InnovationCap&..	101,000
	NEW CONSTRUCTION PROGRAM, NCP11297 - Polisseni Center	46,463
	NEW CONSTRUCTION PROGRAM, NCP14064 - Global Village - Ph	20,563

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Rochester-Genesee Solar Partners, L..	NY-SUN, PV System @ Town of Ontario	347,012
Rogers Avenue Housing Development..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	49,200
Rosen Group Properties	EXISTING FACILITIES, EFP2481-Rosen Group Properties	41,356
Rosenblum Property Services, LLC	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mgmt Ser..	80,709
Ross Solar Group, LLC	>200KW PV, NY-Sun C&I	123,675
	>200KW PV, NY-Sun CI	175,000
Rural Ulster Preservation Company	CLEANER GREENER COMMUNITIES, Green Jobs Green New York Outr	807
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	112,000
Rutgers University	ENVIRONMENTAL RESEARCH, InnovationCap&BizDev*inactive	9,301
Rutland Road Associates	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	350,400
SAF NY Realty Co., LLC	Industrial Process Effic, Industrial Process Efficiency	140,041
Safari Energy LLC	<200KW PV, NY-Sun	15,625
	NY-SUN, New York Sun Competitive PV Pr	592,416
	NY-SUN, PV System @ Diamond Nyack	431,104
	NY-SUN, PV System @ Safari - EXR Centr	85,845
	NY-SUN, PV System @ SE.DMNC.333 Ph 2.1	55,908
	NY-SUN, Rooftop PV installation	12,678
	NY-SUN, RPS CST Regional Program	291,047
Saint Gobain Adfors America, Inc.	Industrial Process Effic, Industrial Process Efficiency	16,581
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	193,795
SAVD Solar, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Self-Aligning Ve..	0
Scott Shipley	<200KW PV, NY Sun	5,124
Sea Bright Solar, LLC	<200KW PV, NY Sun	8,844
Seed Renewables Inc.	<200KW PV, NY-Sun	13,440
Selfhelp Community Services, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	49,083
Seneca Energy II, LLC	LARGE SCALE RENEWABLES, Ontario LFGE	218,920
	LARGE SCALE RENEWABLES, Seneca Energy	0
Seneca Food Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	18,650
Seneca Nation	>200KW PV, NY Sun	176,320
Seneca Strategic Consulting, LLC	CLEANER GREENER COMMUNITIES, CGC43425 -Ithaca 2030 District	20,000
Services for the UnderServed - Mental..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	80,400
Settlement Housing Fund, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	94,200
Seven Springs West LLC	WEST VALLEY DEVELOPMENT PROGRAM, Operations and Maintenanc..	494,001
Shared Mobility, Inc.	CLEAN TRANSPORTATION, Shared Mobility Network	51,830
Sheldon Energy, LLC	LARGE SCALE RENEWABLES, High Sheldon Wind Farm	2,420,873
ShopRite Supermarkets, Inc.	EXISTING FACILITIES, EFP2485- Shoprite Supermarkets	89,543
Silver Lining Solar	<200KW PV, NY Sun	15,518
Sive Paget & Riesel PC	Off-Shore Wind Master Plan, RFP 3300 & RFP 3776 Outside Co	260,945
	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 & RFP 3776 Outs..	21,691
Skyven Technologies, LLC	OTHER PROGRAM AREA, Technology to Market	225,000
Smarter Grid Solutions, Inc.	DER Integration(Intrcnct), PON 3404 DER Integration	24,300
	High Performing Grid, PON 3397 CAT A	88,800
	High Performing Grid, PON 3397 CAT B	143,950
	High Performing Grid, PON 3397 Round 2 - Category B	2,000
Smith Engineering PLLC	Flexible Tech Assistance, FlexTech Consultant Selection	34,389
Snow Belt Housing Company, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	3,600
Snow Economics, Inc.	Industrial Process Effic, Industrial Process Efficiency	28,488
Solar Alchemy, Inc.	<200KW PV, NY Sun	5,280

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Contractor	Contract Description	Total Expended Amount
Solar and Wind FX, Inc. (Chris Schaefer..)	<200KW PV, NY Sun	10,000
Solar Census LLC	OTHER PROGRAM AREA, Remote Rooftop Shade Tool	21,601
	WORKFORCE DEVELOPMENT, Remote Rooftop Shade Tool	21,601
Solar Energy Systems, LLC	<200KW PV, NY Sun	17,080
	>200KW PV, NY Sun	82,044
Solar Generation, Inc.	<200KW PV, NY Sun	22,612
	<200KW PV, NY-Sun	8,640
Solar Home NJ	<200KW PV, NY Sun	5,504
Solar Liberty Energy Systems, Inc	<200KW PV, NY Sun	48,966
	<200KW PV, NY-Sun	14,490
Solar One, Inc.	<200KW PV, NY Sun	2,048
Solar Plumbing Design Inc	<200KW PV, NY Sun	34,187
Solar Power Company, LLC	NY-SUN, PV System @ PearlGreen	55,130
SolarCity Corporation	<200KW PV, NY Sun	88,699
	<200KW PV, NY-Sun	66,000
	NY-SUN, Commercial/Industrial	54,612
	NY-SUN, NY-Sun	74,022
	NY-SUN, PV System @ Halfmoon Water Tre	216,929
	NY-SUN, PV System @ Oneida Herkimer So	169,202
	NY-SUN, PV System @ Onondaga County CI	273,673
	NY-SUN, PV System @ Orange County DPW	190,656
	NY-SUN, PV System @ Otsego County Grav	126,489
	NY-SUN, PV System @ Sullivan County Ad	321,867
SolarKal LLC	OTHER PROGRAM AREA, Technology to Market	125,000
Sound Geothermal Corporation	Geothermal Incentive Program, GEO Inspector Training	15,345
Southern Tier Central Regional Planning	CLEANER GREENER COMMUNITIES, CGC28019 - STCRPBD	23,983
	CLEANER GREENER COMMUNITIES, CGC40255 - Cooperative Compreh	19,578
Southport, LLC	>200KW PV, Commercial/Industrial	17,138
Sperry Energy	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	84,150
SRM Fuel Corp	FUEL NY, PGI00071 - SRM Fuel Corp.	85,574
SS&C Technologies, Inc.	NEW YORK GREEN BANK, Fund Administration/Loan Inves	152,197
SSA Solar of NY 2 LLC	NY-SUN, NY-Sun	203,017
St. Ann's Community	Commercial Imp Assist, CIAP003 - St. Ann's Community	64,000
St. Ann's Warehouse	NEW CONSTRUCTION PROGRAM, NCP11351 - St. Ann's Warehouse	1,739
St. Nicks Alliance	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	20,400
Stanley Senior Housing Development ..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	30,548
Stantec Consulting Services, Inc.	Commercial New Construc, Stantec-Energy Modeling Partne	2,120
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	0
	Off-Shore Wind Pre-Dev Act, RFP 3462	162,495
Steel Sun LLC	NY-SUN, PV System @ Steel Sun #1	329,978
	NY-SUN, PV System @ Steel Sun #2	342,145
Steven Winter Associates, Inc.	ADVANCED BUILDINGS, Linkage-Less Burner Retrofit	8,747
	Commercial New Construc, SWA - EMP	8,672
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, O..	23,994
	EXISTING FACILITIES, Technical Review and Program S	1,179
	Flexible Tech Assistance, FlexTech Consultant Selection	7,500
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	156,474
	Low Rise New Construction, Technical Review and Program S	6,983

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Steven Winter Associates, Inc.	Multifam New Construction, Technical Review and Program S	6,983
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	23,243
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	37,985
	NextGen HVAC, Linkage-Less Burner Retrofit	11,359
Stonework Capital LLC	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	73,077
Stony Creek Energy LLC	LARGE SCALE RENEWABLES, Stony Creek Wind Farm	2,786,475
STR Systems NY, LLC	<200KW PV, NY Sun	11,300
Sun Source Technologies	<200KW PV, NY Sun	31,576
	<200KW PV, NY-Sun	17,100
SuNation Solar Systems, Inc.	<200KW PV, NY Sun	63,240
	<200KW PV, NY-Sun	183,345
SunE Solar XVI Lessor, LLC	NY-SUN, Competitive PV Program - RIT	1,085,984
SunEdison Origination3, LLC	NY-SUN, RPS CST Regional Program	561,405
Sunnova Energy Corp	<200KW PV, NY Sun	15,456
SunPower Capital, LLC	<200KW PV, NY Sun	291,789
	<200KW PV, NY-Sun	5,712
SunRay Power LLC	NY-SUN, RPS CST Regional Program	144,753
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY-Sun	72,686
Sunrise Solar Solutions, LLC	<200KW PV, NY Sun	100,068
	<200KW PV, NY-Sun	20,931
SunRun, Inc	<200KW PV, NY Sun	70,815
	<200KW PV, NY-Sun	6,600
Sunstream Hudson I	NY-SUN, PV System @ St. Peter's Hospit	354,594
Sunstream Hudson II	NY-SUN, PV System @ Center for Disabil	360,171
SUNY - ESF	ENVIRONMENTAL RESEARCH, Biofiltration drainage media	46,963
SUNY at Albany	ENVIRONMENTAL RESEARCH, Climate Change & Renewables	15,230
SUNY Oneonta	NEW CONSTRUCTION PROGRAM, NCP12787 - Oneonta Auxiliary S	2,204
	NEW CONSTRUCTION PROGRAM, NCP12788 - Welcome Center	6,794
SUNY Oswego	NEW CONSTRUCTION PROGRAM, NCP12241 - SUNY Oswego Tyler H	61,050
SUNY Upstate Medical University	NEW CONSTRUCTION PROGRAM, NCP98635 - CNY Biotech Researc	5,013
Sustainable BioPower LLC	REC:CES REC Contracts, 8th RPS Main Tier Solicitation	10,170
Sustainable Energy Advantage, LLC	>200KW PV, Large Scales Renewables Techni	8,726
	ENERGY ANALYSIS, Large Scales Renewables Techni	3,750
	LARGE SCALE RENEWABLES, Large Scales Renewables Techni	1,556
	NYSERDA ADMINISTRATION, Renewable Portfolio Standard T	0
	Off-Shore Wind Pre-Dev Act, Large Scales Renewables Techni	45,630
	OTHER PROGRAM AREA, Large Scales Renewables Techni	3,309
	REC:CES REC Pgm Non-Rec Exp, Large Scales Renewables Techni	95,417
	REC:CES REC System Dev Costs, Large Scales Renewables Techni	199,218
	REC:CES REC System Dev Costs, Renewable Portfolio Standard T	0
	ZEC:CES ZEC System Dev Costs, Large Scales Renewables Techni	0
Sustainable Energy Developments Inc.	<200KW PV, NY Sun	81,575
	NY-SUN, NY-Sun	59,454
	Small Wind, Wind Turbine Incentive	7,539
Sweetwater Energy, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cellulosic Sugar..	90,000
Swiss Re Management (US) Corporati..	>200KW PV, NY Sun	425,803
Swiss Valley Farms, Inc.	ANAEROBIC DIGESTER, Swiss Valley Farms Scrubber	6,637
Switched Source LLC	High Performing Grid, PON 3397 Round 2 - Category D	2,000

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Sylvania Lighting Services Corp	EXISTING FACILITIES, EFP2629 - Sylvania Lighting	15,461
Syncarpha Whitehall LLC	>200KW PV, NY-Sun	191,585
	NY-SUN, NY-Sun	216,494
Syracuse City School District	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	75,552
Syracuse University	ENVIRONMENTAL RESEARCH, Accelerated Recovery and Envir	1,532
	ENVIRONMENTAL RESEARCH, Acid Deposition and Mercury Re	41,920
	ENVIRONMENTAL RESEARCH, Estimating Soil Weathering	9,253
	ENVIRONMENTAL RESEARCH, Monitoring of NYS fish for Hg	18,754
	ENVIRONMENTAL RESEARCH, Nutrient Dynamics in the ADKs	16,009
Syracuse, City	CLEANER GREENER COMMUNITIES, CGC30900 – City of Syracuse	167,716
Syska Hennessy Group	Flexible Tech Assistance, FlexTech Consultant Selection	2,900
T.Y. Lin International	ADVANCED ENERGY CODES, Energy Code Support Services	87,742
	CLEANER GREENER COMMUNITIES, Energy Code Support Services	101,996
Taconic Renewable Energy Solutions ..	<200KW PV, NY Sun	6,254
Tagup Inc.	High Performing Grid, PON 3397 CAT C	9,440
Taitem Engineering, P.C.	<200KW PV, NY Sun	55,611
	<200KW PV, NY-Sun	98,132
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	34,896
	Commercial New Construc, Taitem - EMP	9,437
	Community RH&C, Technical Review and Program S	20,548
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, E..	12,370
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, L..	18,368
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	32,941
	EVALUATION, Technical Review and Program S	21,626
	Geothermal Incentive Program, Technical Review and Program S	51,689
	GREEN AFFORDABLE HOUSING, MEPP Quality Assurance Contrac	1,017
	GREEN AFFORDABLE HOUSING, Multifamily	12,720
	Industrial Process Effic, Technical Review and Program S	5,234
	MULTIFAMILY PERFORMANCE PROGRAM, MEPP Quality Assurance Co..	29,591
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	100,784
	NEW YORK ENERGY STAR HOMES, Technical Review and Program S	17,805
	On-Site Energy Manager, FlexTech Consultant Selection	124,913
Talen Energy Marketing, LLC	LARGE SCALE RENEWABLES, Locust Ridge Wind Farm	534,853
Tech Valley Talent, LLC	NYSERDA ADMINISTRATION, Staff Augmentation	862,305
	REC:CES REC System Dev Costs, Staff Augmentation	75,576
	ZEC:CES ZEC System Dev Costs, Staff Augmentation	75,576
Tecogen	Combined Heat and Power, CHPA - 34-46 Vernon East	56,430
	Combined Heat and Power, CHPA - 34-46 Vernon West	56,430
	Combined Heat and Power, CHPA - 60 Sutton Place	128,081
	Combined Heat and Power, CHPA - Aron Hall	59,400
	Combined Heat and Power, CHPA - Taxi 302-02 39th St	115,500
	Combined Heat and Power, CHPA - Village View 3	73,735
	Combined Heat and Power, CHPA - Village View 5	73,735
	Combined Heat and Power, CHPA - Village View 6	73,735
	Combined Heat and Power, CHPA - Village View 7	73,735
	Combined Heat and Power, On-Site Power	73,735
TerraForm Solar XVIII, LLC	>200KW PV, Blue Mountain Middle School	37,136
	>200KW PV, Buchanan Verplanck School	38,521

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TerraForm Solar XVIII, LLC	>200KW PV, Frank Lindsey School	41,376
	>200KW PV, Furnace Woods Middle School	44,996
	>200KW PV, Henrick Hudson High School	25,237
Terry Light	Low Rise New Construction, New Construction	4,000
Tessy Plastics Corp	Industrial Process Effic, Industrial Process Efficiency	183,251
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	925,032
Tetra Tech Engineers, Architects and ..	MARKET PATHWAYS, CRETP - Metlife - 200 Park - M	30,000
TGC Elizabeth Drive (Chester) LLC	NY-SUN, NY-Sun	199,650
The Albany Damien Center	NEW YORK ENERGY STAR HOMES, New Construction	51,000
The Bridge Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	50,000
The Cadmus Group, Inc.	<200KW PV, Quality Assurance Services for	66,556
	>200KW PV, Quality Assurance Services for	0
	>200KW PV, RFQL3434 Cat1 NYSUN C/I	31,337
	Commercial Real Estate Ten, RFQ 3183 The Cadmus Group Inc	76,025
	COMMUNITY SOLAR, Quality Assurance Services for	0
	NY-SUN, Quality Assurance Services for	68,688
	NY-SUN, RFQL3434 Cat1 NYSUN C/I	28,827
	RENEWABLE THERMAL, Quality Assurance Services for	32,224
	Residential-Engaging New Mkts, RFQ 3183 The Cadmus Group Inc	204,978
	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 4	47,876
Solar Thermal, Quality Assurance Services for	0	
The Coalition for Green Capital	CLEAN TRANSPORTATION, State PEV fleet purchases	57,000
The Community Builders, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	33,500
The Continental Condominium	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	44,100
The Danza Leser Group	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program PON1746	70,960
The Levy Partnership, Inc.	ADVANCED BUILDINGS, EIFS DEEP Retrofits	10,446
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, D..	14,063
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	53,003
	RENEWABLES & DER INTEGRATION, EIFS DEEP Retrofits	0
The Logue Group	WEST VALLEY DEVELOPMENT PROGRAM, Facilitation Services	4,436
	WEST VALLEY DEVELOPMENT PROGRAM, WV- Demonstration Project	16,737
The Masters School	NEW CONSTRUCTION PROGRAM, NCP10544 - Community Arts	40,658
The New York Times Company	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	44,181
The Radiant Store	Renewable Heat NY, Clean Heating & Cooling	12,500
	Renewable Heat NY, RHNY PON 3010 Incentive - Empi	10,625
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Kopa	6,000
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Sura	6,000
	Renewable Heat NY, The Radiant Store - Biosclair	10,000
	Renewable Heat NY, The Radiant Store - Incentive	7,500
	Renewable Heat NY, The Radiant Store - Tesla	5,000
The Renewables Consulting Group, L..	Off-Shore Wind Pre-Dev Act, RFP 3462	407,753
The Research Foundation for SUNY	CLEAN TRANSPORTATION, Autonomous EV Campus Demo	167,050
The Research Foundation for the State	ENVIRONMENTAL RESEARCH, Low Moisture Wood Chip	50,685
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EB Assisted Re..	15,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Visible Light Cur..	94,000
	RENEWABLE HEAT NY, Lignocellulosic pellets	9,727
The Research Foundation of SUNY (U..	REV CAMPUS CHALLENGE, RFP 3214 REV Campus Challenge	148,400
The Research Foundation of SUNY at ..	Cleantech Incubator, PON3413 Clean Energy Incubator	178,470

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The RF of SUNY Binghamton Universi..	High Performing Grid, PON 3397 Round 2 - Category A	5,000
The Strand Condominium	COMBINED HEAT AND POWER, DG CHP at The Strand	10,840
The Trustees of Columbia University	ENVIRONMENTAL RESEARCH, GIS flood mapping tool	43,622
	ENVIRONMENTAL RESEARCH, Tropical Cyclone Risk Model	50,749
	OTHER PROGRAM AREA, PON 3249 ACE Electrofuels	21,548
The Webster Green Housing	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	32,800
ThinkEco, Inc.	MARKET PATHWAYS, Behavioral Demonstrations Prog	42,475
Thornton Tomasetti, Inc.	NEW CONSTRUCTION PROGRAM, Thornton Tomasetti-EMP	2,568
TM Montante Solar Developments, LLC	<200KW PV, RES-NewConst(no longer in use)	396,702
Town of Amherst	CLEANER GREENER COMMUNITIES, CGC42761 - Town of Amherst	18,038
Town of Batavia	CLEANER GREENER COMMUNITIES, CGC31078 - Town of Batavia	53,500
Town of Bethlehem	Clean Energy Communities, CEC400006 - Town of Bethlehem	65,000
Town of Clarkstown	CLEANER GREENER COMMUNITIES, CGC41249 - Nanuet Transit Plan	32,250
Town of Ellicott	Clean Energy Communities, CEC101457 - Town of Ellicott	0
	CLEANER GREENER COMMUNITIES, CEC101457 - Town of Ellicott	46,850
Town of Hyde Park	CLEANER GREENER COMMUNITIES, CGC41658 - Retrofitting Hyde P	34,320
Town of Ithaca	CLEANER GREENER COMMUNITIES, CGC30040 - Town of Ithaca	67,434
Town of Smithtown	CLEANER GREENER COMMUNITIES, CGC39727 - Town of Smithtown	11,080
Town of Southold	CLEANER GREENER COMMUNITIES, Town of Southold	25,000
Town of Springwater	CLEANER GREENER COMMUNITIES, CGC29614 - Town of Springwater	767
Trane	EXISTING FACILITIES, EFP1944 - Trane; Wayne County	2,933
TransCore ITS LLC	CLEAN TRANSPORTATION, Green Traffic Control Cabinet	2,894
TRC Energy Services	ADVANCED BUILDINGS, Technical Review and Program S	25,835
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	4,971
	Commercial New Construc, Technical Review and Program S	26,142
	Commercial Real Estate Ten, Technical Review and Program S	56,357
	ENVIRONMENTAL RESEARCH, Technical Review and Program S	2,486
	EXISTING FACILITIES, Technical Review and Program S	30,081
	Flexible Tech Assistance, Technical Review and Program S	69,449
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	24,093
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	33,904
	GREEN AFFORDABLE HOUSING, MF Energy Perf Portfolio Imple	0
	Industrial Process Effic, Technical Review and Program S	15,249
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	6,276
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	16,580
	Low-Income Forum on Energy, LIFE Implementation Services	31,961
	Multifam New Construction, MF Energy Perf Portfolio Imple	366,405
	Multifam Performance Pgm, MF Energy Perf Portfolio Imple	401,460
	MULTIFAMILY PERFORMANCE PROGRAM, MF Energy Perf Portfolio Im..	343,630
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	148,136
	Real Time Enrgy Management, Technical Review and Program S	33,233
	Workforce Industry Partnership, Technical Review and Program S	60,384
Treasure Asset Storage LLC	NEW CONSTRUCTION PROGRAM, NCP12473 - 122 W 146th St	168,635
Trees New York	GREENING THE BRONX, Greening The Bronx	26,168
Tremont Renaissance, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	102,400
Triangle Electrical Systems, Inc.	<200KW PV, NY Sun	8,496
	<200KW PV, NY-Sun	6,230
TriCarb Consortium for Carbon Seque..	RENEWABLES & DER INTEGRATION, Environmental Research	2,200

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Trinity Heating & Air, Inc.	<200KW PV, NY Sun	56,910
	<200KW PV, NY-Sun	13,236
Trinity West Harlem Phase One Limite..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	31,500
Trinity West Harlem Phase Two Limite..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	57,500
Troy Boiler Works, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, IMCET - Vacuu..	4,151
Trump World Tower Condominium	COMBINED HEAT AND POWER, FlexTech Program - PON1746	16,524
Trust for Conservation Innovation	ADVANCED ENERGY CODES, Energy Code Support Services	66,708
Tungsten Sources, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Transformative ..	65,000
Twin Lantern Solar Partners, LLC	NY-SUN, PV System @ City of Oneida	254,002
U.S. Geological Survey (Troy).	ENERGY ANALYSIS, Accelerated Recovery	0
	ENVIRONMENTAL RESEARCH, Accelerated Recovery	104,535
	ENVIRONMENTAL RESEARCH, Acid Deposition and Mercury	29,789
U.S. Green Building Council, NY Chapter	ADVANCED BUILDINGS, Improving Steam Distribution	25,000
	ADVANCED ENERGY CODES, Energy Code Training: A/Es	45,501
Ulysses Solar LLC	NY-SUN, PV System at Cornell	313,303
Unique Comp Inc.	NYSERDA ADMINISTRATION, I.T. Staff Augmentation	708,344
Unique Electric Solutions of NYS LLC	CLEAN TRANSPORTATION, UPS All-Electric Vehicle Demo	159,906
Unique Technical Services, LLC	CLEAN TRANSPORTATION, Advanced Transportation Tech	40,708
	Pub Transit & Elect Rail, Advanced Transportation Tech	5,216
United Bronx Parents, Inc	NEW CONSTRUCTION PROGRAM, NCP10545 - La Escuelita La Cas	26,412
United Health Services Hospitals Inc	Industrial Process Effic, Industrial Process Efficiency	9,014
United Talmudical Academy	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program	5,000
United Wind Project I, LLC	SMALL WIND, Wind Turbine Incentive	40,190
University of Maryland	OTHER PROGRAM AREA, DOE UER - Maryland	12,936
University of Rochester	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	81,962
	ENVIRONMENTAL RESEARCH, Impact of environmental polici	112,709
	ENVIRONMENTAL RESEARCH, Long-Term Monitoring of Methan	20,052
	Industrial Process Effic, Industrial Process Efficiency	76,129
	NEW CONSTRUCTION PROGRAM, NCP12410 - Institute for Data	16,933
Upstate Alternative Energy	<200KW PV, NY-Sun	7,840
Urban Electric Power, LLC	ADVANCED BUILDINGS, Optimization of Battery and DR	70,000
	CLEAN TRANSPORTATION, Zinc MO2 battery scale up	121,000
US Energy Concierge Inc	<200KW PV, NY Sun	12,713
USGS National Center MS270	ENVIRONMENTAL RESEARCH, Catskills Streams Trends	9,531
USTA National Tennis Center, Inc.	EXISTING FACILITIES, EFP2458 - USTA National Tennis	385,391
	NEW CONSTRUCTION PROGRAM, NCP12369 - USTA National Tenni	65,904
Utilities Program & Metering, Inc.	Real Time Enrgy Management, Josie Robinson Surgery - RTEM	14,102
	Real Time Enrgy Management, NYU Medical Center - MS - RTEM	13,980
V&R Energy Systems Research, Inc.	SMART GRID SYSTEMS, Advanced State Estimation	110,000
Vanguard Energy Partners, LLC	<200KW PV, NY-Sun	67,086
Vanguard Printing LLC	Industrial Process Effic, Industrial Process Efficiency	12,264
Venture Home Solar LLC	<200KW PV, NY Sun	16,057
Verizon NY Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	376,056
Vermont Energy Investment Corporation	CLEAN TRANSPORTATION, EV Dealer Incentive Program	13,914
	CLEAN TRANSPORTATION, NYS EV School Bus Education	28,778
	Industrial Process Effic, Technical Review and Program S	29,777
	Strategic Energy Manager, RFP 3352	386,346
Versar, Inc	EXISTING FACILITIES, Technical Review and Program S	870

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Vidaris, Inc.	Commercial New Construc, Vidaris - EMP	57,129
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	84,073
	NEW CONSTRUCTION PROGRAM, New Construction	0
	NEW CONSTRUCTION PROGRAM, Technical Assistant Services..	11,043
	NEW CONSTRUCTION PROGRAM, Vidaris - EMP	10,138
Village of Croton-on-Hudson	CLEANER GREENER COMMUNITIES, CEC500633 - Croton-on-Hudson	12,500
Village of Frankfort Electric Departmen	SMART GRID SYSTEMS, Village of Frankfort NY Prize	20,000
Village of Rockville Centre	SMART GRID SYSTEMS, RFP 3044 R2	70,000
Village of Tupper Lake	OTHER PROGRAM AREA, Tupper Lake District Heat	40,000
Village of Waterloo	CLEANER GREENER COMMUNITIES, CGC27279 - Village of Waterloo	21,802
Viola Homes Inc.	<200KW PV, NY Sun	28,728
Viridian Energy & Environmental, LLC	NEW CONSTRUCTION PROGRAM, High Perf New Bldg(not in use)	0
Vishay Thin Film	Industrial Process Effic, Industrial Process Efficiency	11,466
Vivint Solar	<200KW PV, NY Sun	50,465
	<200KW PV, NY-Sun	4,844
Vnomics Corp	CLEAN TRANSPORTATION, Truck Trip Fleet Study	30,000
Voltaic Solaire LLC	<200KW PV, NY Sun	5,616
Wal-Mart Stores East, LP	NEW CONSTRUCTION PROGRAM, NCP11690 - Walmart Store #1744	32,590
	NEW CONSTRUCTION PROGRAM, NCP12735 - WalMart Colonie #19	143,539
	NEW CONSTRUCTION PROGRAM, NCP13098 - Walmart Cheektowaga	118,859
Walker Farms LLC	ANAEROBIC DIGESTER, On-Site Power	79,475
Wappingers Falls Hydroelectric, LLC	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	2,660
Warren Pinnacle Consulting, Inc.	ENVIRONMENTAL RESEARCH, SLAMM adaptation	28,508
Watchtower Bible &	NEW CONSTRUCTION PROGRAM, NCP10430 - Residence C - OFLT	0
Water Environment & Reuse Foundati..	ENVIRONMENTAL RESEARCH, Cofunding energy R&D projects.	33,652
Waterfront NY Realty Corp	EXISTING FACILITIES, EFP2401 - Waterfront New York	21,826
Weaver Wind Energy, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Weaver Wind 1..	121,049
Webster Community Coalition for Eco..	CLEANER GREENER COMMUNITIES, CGC38562 - Webster Cold Water	21,000
Wellwood Gas Inc	FUEL NY, GSP00694 - Wellwood Gas Inc	10,000
Wendel Energy Services, LLC	EXISTING FACILITIES, Technical Review and Program S	12,618
	Flexible Tech Assistance, FlexTech Consultant Selection	55,296
	Industrial Process Effic, Technical Review and Program S	4,776
Wendel WD Architecture, Engineering,	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	15,165
Wesco Distribution	<200KW PV, NY-Sun	741,504
	<200KW PV, RES-NewConst(no longer in use)	913,010
West Hill Energy & Computing, Inc.	EVALUATION, RFQ 3183 West Hill Energy	10,426
West Nyack Solar	NY-SUN, PV System @ Town of Clarkstown	199,500
Westchester Chamber Educational	CLEANER GREENER COMMUNITIES, CGC26702 - WGBG	208,102
Westchester County	SMART GRID SYSTEMS, Town of Valhalla NY Prize	100,000
WGL Energy Systems, Inc.	FUEL CELLS, CST FC Marcus Garvey	150,000
	NY-SUN, PV System @ Hamilton-Fulton	96,465
Whole Foods Market Group, Inc.	EXISTING FACILITIES, EFP2232 - Whole Foods Market -	13,728
Willdan Energy Solutions	ADVANCED BUILDINGS, C&I Outreach	0
	Commercial Real Estate Ten, C&I Outreach	82,348
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	28,631
	EXISTING FACILITIES, C&I Outreach	0
	EXISTING FACILITIES, Technical Review and Program S	58,341
	Flexible Tech Assistance, FlexTech Consultant Selection	139,721

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Contractor	Contract Description	Total Expended Amount
Willdan Energy Solutions	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Program S	11,998
	Industrial Process Effic, C&I Outreach	33,417
	Industrial Process Effic, Technical Review and Program S	17,599
	INDUSTRIAL PROCESS EFFICIENCY, C&I Outreach	66,834
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	24,802
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	73,616
	On-Site Energy Manager, C&I Outreach	5,570
	Real Time Enrgy Management, Technical Review and Program S	214,994
	Strategic Energy Manager, C&I Outreach	5,570
Willowbrooke FP LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	76,000
Wireless Sensor Solutions	CLEAN TRANSPORTATION, Self powered TPMS	239,047
Wolfe Landing, Llc	NEW YORK ENERGY STAR HOMES, New Construction	2,000
Women's Housing & Econ. Developm..	COMBINED HEAT AND POWER, 75kW CHP at Urban Horizons	1,374
Woodcrest Dairy, LLC	ANAEROBIC DIGESTER, PON 2828 - Woodcrest	114,500
XC Associates, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Smart Wind Tur..	26,372
Xerox Corp	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	65,667
York Town Solar Development, LLC	NY-SUN, PV System @	51,950
You Save Green Incorporated	<200KW PV, NY Sun	31,848
	<200KW PV, NY-Sun	37,512
Zero Carbon Corporation	<200KW PV, NY Sun	26,830
ZEV Technologies, Inc.,	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	8,897
	CLEAN TRANSPORTATION, Promoting Workplace Charging	49,647
Zotos International, Inc.	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	26,880
Grand Total		175,600,611

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Contractor	Contract Description	Total Expended Amount
1 Stop Electronics Center, Inc.	Home Perf w Energy Star, Single Family Residential	112,799
440 Jericho Turnpike Auto Sales, LLC	Clean Transportation	19,800
1135 Millersport HWY LLC	Electric Vehicles - Rebate, Clean Transportation	12,100
1581 Hylan BLVD Auto LLC	Clean Transportation	1,700
	Electric Vehicles - Rebate, Clean Transportation	23,800
1591 Hylan Blvd Auto LLC	Electric Vehicles - Rebate, Clean Transportation	8,800
2679bhwilc	Electric Vehicles - Rebate, Clean Transportation	17,600
3900 Sheridan Drive LLC	Electric Vehicles - Rebate, Clean Transportation	9,900
3955 WH Road, LLC	Electric Vehicles - Rebate, Clean Transportation	46,500
A Johnson Home Comfort, Inc.	Home Perf w Energy Star, Single Family Residential	31,209
AC & APPLIANCES OUTLET CORP	Underutilized Products, Products	174,000
AC & Appliances Supermarket Corp.	Underutilized Products, Products	260,500
AC & Appliances Wholesaler Corp	Underutilized Products, Products	488,000
AC & Wholesaler Corp	Underutilized Products, Products	193,000
Adirondack Chevrolet Buick	Electric Vehicles - Rebate, Clean Transportation	11,700
Adirondack Community Action	Home Perf w Energy Star, Single Family Residential	13,285
Adirondack North Country Association	POLICY DEVELOPMENT, Consumer Serv & Events Managem	750
ADR Home Energy Solutions LLC.	Home Perf w Energy Star, Single Family Residential	64,897
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
Advanced Comfort Systems NY Inc.	Underutilized Products, Products	6,000
Advanced Energy Systems of NY, LLC	Home Perf w Energy Star, Single Family Residential	53,139
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
Advanced Radiant Design, Inc.	Geothermal Incentive Program, Clean Heating & Cooling	10,905
Advantage Suzuki LLC	Electric Vehicles - Rebate, Clean Transportation	43,500
Advantage Title Agency, Inc.	GJGNY REVOLVING LOAN FUND, Commercial	1,367
	GJGNY REVOLVING LOAN FUND, Single Family Residential	147,214
Airtight Services, Inc.	Home Perf w Energy Star, Single Family Residential	40,429
	Single Family Residential	18,124
Albanese Plumbing, LLC	Underutilized Products, Products	7,500
Albany Auto Managment	Electric Vehicles - Rebate, Clean Transportation	34,100
Albany Solar Solutions L.L.C.	Underutilized Products, Products	500
All Season Experts Heating and Cooling I	Underutilized Products, Products	7,000
All Star Energy, Inc.	EMPOWER NY, Single Family Residential	23,470
	Home Perf w Energy Star, Single Family Residential	457,115
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,500
	Single Family Residential	6,534
American AWS Corp.	Single Family Residential	37,299
Arctic Bear Plumbing, Heating & Air, Inc	Underutilized Products, Products	6,500
Arnold Chevrolet LLC	Clean Transportation	17,700
	Electric Vehicles - Rebate, Clean Transportation	1,700
Arroway Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	11,400
Arthur C. Pakatar	Home Perf w Energy Star, Single Family Residential	128,777
	Single Family Residential	12,758
Association for Energy Affordability, In	Home Perf w Energy Star, Single Family Residential	30,056
Auto Mall Nissan Inc	Clean Transportation	5,100
Automall Imports LLC	Clean Transportation	15,900
Autosaver Ford	Electric Vehicles - Rebate, Clean Transportation	15,400
Aztech Geothermal, LLC	Geothermal Incentive Program, Clean Heating & Cooling	12,945
	Home Perf w Energy Star, Single Family Residential	750
	Underutilized Products, Clean Heating & Cooling	1,245
Barbaera Homes and Development, Inc.	Low Rise New Construction, New Construction	6,900

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Contractor	Contract Description	Total Expended Amount
Baron Brothers Auto Group Inc	Clean Transportation	6,800
Barrett Capital Corporation	GJGNY REVOLVING LOAN FUND, Commercial	2,888
Barton Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	28,500
Benchmark Printing, Inc.	GJGNY REVOLVING LOAN FUND, Corporate Marketing	2,096
Bensol Tech LLC	Home Perf w Energy Star, Single Family Residential	75,526
	Single Family Residential	5,543
Berg Family Enterprises LLC	Electric Vehicles - Rebate, Clean Transportation	12,000
Bergey's Trucks, Inc.	CLEAN TRANSPORTATION, Clean Transportation	144,000
Best Fire	Renewable Heat NY, Clean Heating & Cooling	41,000
Betlem Service Corporation	EMPOWER NY, Single Family Residential	1,217
	Home Perf w Energy Star, Single Family Residential	19,651
	Underutilized Products, Products	20,378
Better Energy Solutions Inc.	Home Perf w Energy Star, Single Family Residential	233,996
	Single Family Residential	29,140
Bical Chevrolet Corp	Clean Transportation	3,700
	Electric Vehicles - Rebate, Clean Transportation	3,700
Black Cherry Services Group, Inc.	Home Perf w Energy Star, Single Family Residential	28,581
	RENEWABLE HEAT NY, Clean Heating & Cooling	2,000
	Underutilized Products, Products	1,000
BMW of Manhattan Inc.	Clean Transportation	2,200
	Electric Vehicles - Rebate, Clean Transportation	14,600
BOC Capital Corp	GJGNY REVOLVING LOAN FUND, Commercial	500
BPTC	EMPOWER NY, Single Family Residential	12,413
	Home Perf w Energy Star, Single Family Residential	3,803
	Low Rise New Construction, New Construction	4,100
	NEW YORK ENERGY STAR HOMES, New Construction	9,800
	Single Family Residential	17,012
Breathe Easy of CNY Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	403
	Home Perf w Energy Star, Single Family Residential	42,679
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
Bright Home Energy Solutions, LLC	Home Perf w Energy Star, Single Family Residential	231,119
Bruni & Campisi Energy &	Geothermal Incentive Program, Clean Heating & Cooling	7,500
	Home Perf w Energy Star, Single Family Residential	97,278
Buffalo Energy, Inc.	EMPOWER NY, Single Family Residential	165,955
	Home Perf w Energy Star, Single Family Residential	326,949
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	12,596
Buffalo Geothermal Heating	Geothermal Incentive Program, Clean Heating & Cooling	102,990
	Home Perf w Energy Star, Single Family Residential	500
Building Efficiency Resources	Low Rise New Construction, New Construction	13,800
	Low Rise New Construction, RES-NewConst(no longer in use)	3,000
	NEW YORK ENERGY STAR HOMES, New Construction	11,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	600
Burdick Motors Inc.	Electric Vehicles - Rebate, Clean Transportation	35,200
Buzz Chew Chevrolet Cadillac Inc	Clean Transportation	13,400
C&R Housing Inc.	EMPOWER NY, Single Family Residential	13,248
	Home Perf w Energy Star, Single Family Residential	7,815
	Single Family Residential	478
Capital Heat	Geothermal Incentive Program, Clean Heating & Cooling	5,565
	Home Perf w Energy Star, Single Family Residential	1,453
	Underutilized Products, Products	1,500

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Contractor	Contract Description	Total Expended Amount
Cars Unlimited of Suffolk LLC	Clean Transportation	15,400
Cayuga/Seneca Community Action Agency, I	Home Perf w Energy Star, Single Family Residential	20,930
	Single Family Residential	1,080
Central Heating & Cooling, Inc.	Home Perf w Energy Star, Single Family Residential	16,153
	Underutilized Products, Products	500
Central Hudson Gas and Electric Corporat	Admin-General Charges	2,949,070
	GJGNY REVOLVING LOAN FUND, Single Family Residential	1,821
Charles Graves Inc.	Home Perf w Energy Star, Single Family Residential	109,527
	Single Family Residential	15,248
Chautauqua Opportunities, Inc.	EMPOWER NY, Single Family Residential	13,162
	Home Perf w Energy Star, Single Family Residential	21,433
Clarkson Univ., Research Div.	OTHER PROGRAM AREA, Corporate Marketing	53
Clarkson University	Environmental Research, Environmental Research	6,150
Clarkstown Heating & Air Conditioning Co	Underutilized Products, Products	6,000
Clifton Park Imports, Inc.	Electric Vehicles - Rebate, Clean Transportation	31,900
CMS Mechanical, Inc.	Underutilized Products, Products	59,000
CNY Home Tech Services	Home Perf w Energy Star, Single Family Residential	20,194
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	1,679
CNY Insulation Plus, Inc	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	420
	EMPOWER NY, Single Family Residential	6,862
	Home Perf w Energy Star, Single Family Residential	59,160
Colonie Import Distributors LTD	Electric Vehicles - Rebate, Clean Transportation	55,000
Columbia Opportunities Inc.	Home Perf w Energy Star, Single Family Residential	22,321
Columbia University	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Consumer Serv ..	2,000
Commission on Economic Opportunity	Home Perf w Energy Star, Single Family Residential	56,933
Community Action of Orleans and Genesee	Home Perf w Energy Star, Single Family Residential	6,463
	Single Family Residential	1,026
Community Action Planning Council of Jef	Home Perf w Energy Star, Single Family Residential	43,447
Competition Imports Inc	Clean Transportation	14,400
	Electric Vehicles - Rebate, Clean Transportation	1,000
Concord Servicing Corporation	GJGNY REVOLVING LOAN FUND, Single Family Residential	568,708
	OTHER PROGRAM AREA, Products	1,894
Condor Mount Kisco LLC	Electric Vehicles - Rebate, Clean Transportation	11,100
Consolidated Edison Company	GJGNY REVOLVING LOAN FUND, Products	702
	GJGNY REVOLVING LOAN FUND, Single Family Residential	4,855
Cornell Cooperative Extension of Albany	EMPOWER NY, Single Family Residential	6,391
	Home Perf w Energy Star, Single Family Residential	25,762
	Single Family Residential	514
Cornell University	Cleantech Geo Coverage, Technology to Market	7,200
Cornerstone Energy Services	EMPOWER NY, Single Family Residential	215
	Home Perf w Energy Star, Single Family Residential	86,341
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	621
Corning Natural Gas Corporation	Admin-General Charges	8,304
Cortland County Community Action Program	Home Perf w Energy Star, Single Family Residential	38,034
	Single Family Residential	1,052
Country Lincoln Mercury West LLC	Clean Transportation	5,500
	Electric Vehicles - Rebate, Clean Transportation	3,300
Cowles Company of Northern New York, Inc	Home Perf w Energy Star, Single Family Residential	71,137
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250

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Contractor	Contract Description	Total Expended Amount
Crossfield Home Energy Solutions	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	558
	Home Perf w Energy Star, Single Family Residential	125,019
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	318
	Single Family Residential	1,304
Crown Ford Inc.	Clean Transportation	5,500
	Electric Vehicles - Rebate, Clean Transportation	2,200
Curry Motor Cars LLC	Electric Vehicles - Rebate, Clean Transportation	41,600
D.A. Goudreau, Inc	Home Perf w Energy Star, Single Family Residential	28,920
Dachnowicz Automotive Inc	Electric Vehicles - Rebate, Clean Transportation	5,100
Dana Motors, Ltd.	Electric Vehicles - Rebate, Clean Transportation	22,600
Dandelion Energy Inc	Geothermal Incentive Program, Clean Heating & Cooling	99,330
Darling Advertising Agency Inc.	OTHER PROGRAM AREA, Corporate Marketing	4,973
Dave Feldman Heating & Cooling, Inc.	Home Perf w Energy Star, Single Family Residential	13,491
David Homebuilders, Inc.	Low Rise New Construction, New Construction	5,350
	NEW YORK ENERGY STAR HOMES, New Construction	9,000
David M Scott	Home Perf w Energy Star, Single Family Residential	85,474
	Single Family Residential	5,492
Davidson Chevrolet Cadillac Inc	Electric Vehicles - Rebate, Clean Transportation	6,800
Dazong HVAC & R, Inc.	Underutilized Products, Products	44,000
DCH Mamaroneck LLC	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	27,500
DCH NY Motors LLC	Electric Vehicles - Rebate, Clean Transportation	24,200
Degraff Bloom Custom Builders, Inc.	Low Rise New Construction, New Construction	5,700
Delaware Opportunities, Inc.	EMPOWER NY, Single Family Residential	2,707
	Home Perf w Energy Star, Single Family Residential	22,810
	Single Family Residential	4,669
Della Auto Group, Inc.	Electric Vehicles - Rebate, Clean Transportation	8,900
Delmar Auto Plaza	Electric Vehicles - Rebate, Clean Transportation	5,100
DeNooyer Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	44,500
Depaula Chevrolet Inc.	Electric Vehicles - Rebate, Clean Transportation	58,400
DH Berry Inc.	Home Perf w Energy Star, Single Family Residential	16,018
	Single Family Residential	1,112
	Underutilized Products, Products	500
Doan Chevrolet LLC	Electric Vehicles - Rebate, Clean Transportation	17,100
Dowd-Witbeck Printing Corp.	Low-Income Forum on Energy, Corporate Marketing	2,360
	Low-Income Forum on Energy, Low/Moderate Income	3,104
Doyle Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	13,100
Driver's Village, Inc	Electric Vehicles - Rebate, Clean Transportation	10,800
Drumriver Consultants, Inc.	Home Perf w Energy Star, Single Family Residential	8,023
Eagle Auto Mall Sales Inc	Clean Transportation	13,100
	Electric Vehicles - Rebate, Clean Transportation	2,000
Earth Sensitive Solutions, LLC	Geothermal Incentive Program, Clean Heating & Cooling	59,580
East Syracuse Sales Co Inc	Electric Vehicles - Rebate, Clean Transportation	19,100
Easthills Chevrolet Oldsmobile Inc.	Clean Transportation	24,500
	Electric Vehicles - Rebate, Clean Transportation	3,400
Eco Heating & Cooling Inc	EMPOWER NY, Single Family Residential	4,718
	Home Perf w Energy Star, Single Family Residential	23,679
Economic Opportunity Program	Home Perf w Energy Star, Single Family Residential	76,638
Elaine Y. Chow	NEW YORK ENERGY STAR HOMES, New Construction	8,000
En-Tech Associates	Home Perf w Energy Star, Single Family Residential	8,074
	Single Family Residential	878

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Contractor	Contract Description	Total Expended Amount
Energy Answers	EMPOWER NY, Single Family Residential	12,986
	Home Perf w Energy Star, Single Family Residential	92,047
	Single Family Residential	11,034
Energy Efficiency Solutions NY LLC	Home Perf w Energy Star, Single Family Residential	7,892
Energy Evolution Inc	Home Perf w Energy Star, Single Family Residential	19,218
	Single Family Residential	7,241
Energy Management Solutions, LLC	Home Perf w Energy Star, Single Family Residential	122,059
Energy Savers Inc	EMPOWER NY, Single Family Residential	8,550
	Home Perf w Energy Star, Single Family Residential	420,647
	Single Family Residential	6,000
Energy Saving Solutions, LLC	EMPOWER NY, Single Family Residential	95,305
	Home Perf w Energy Star, Single Family Residential	68,708
Environmental Contracting LLC	EMPOWER NY, Single Family Residential	6,835
	Home Perf w Energy Star, Single Family Residential	2,209
Euro and American Contracting	EMPOWER NY, Single Family Residential	17,461
	Home Perf w Energy Star, Single Family Residential	82,700
	Single Family Residential	8,160
F.G. Downing Development, Inc.	Electric Vehicles - Rebate, Clean Transportation	6,500
Farnsworth Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	13,400
Foam It Insulation, LLC	Home Perf w Energy Star, Single Family Residential	174,412
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
	Single Family Residential	19,074
Foothills MotorCar Corp	Electric Vehicles - Rebate, Clean Transportation	20,900
Forbes-Capretto Homes	Low Rise New Construction, New Construction	15,800
Fort Orange Press Incorporated	Home Perf w Energy Star, Corporate Marketing	15,007
Fox Imports, Inc	Electric Vehicles - Rebate, Clean Transportation	13,200
Fred F. Collis & Sons, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	2,165
	Home Perf w Energy Star, Single Family Residential	102,835
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	3,290
	Single Family Residential	4,589
	Underutilized Products, Products	2,000
Frontier Abstract and Research Services	GJGNY REVOLVING LOAN FUND, Commercial	275
	GJGNY REVOLVING LOAN FUND, Single Family Residential	17,411
Fuccillo Enterprises, Inc.	Electric Vehicles - Rebate, Clean Transportation	13,200
Fuccillo Ventures Inc	Electric Vehicles - Rebate, Clean Transportation	246,900
Fulmont Community Action Agency Inc.	Home Perf w Energy Star, Single Family Residential	28,191
G.W. Ehrhart, Inc.	Renewable Heat NY, Clean Heating & Cooling	34,500
Gallagher Electrical Services Heat & Air	Home Perf w Energy Star, Single Family Residential	13,316
Garber H Inc	Electric Vehicles - Rebate, Clean Transportation	5,100
Garsten Motors Inc	Clean Transportation	11,900
	Electric Vehicles - Rebate, Clean Transportation	1,700
Gary Boyd	EMPOWER NY, Single Family Residential	6,208
	Home Perf w Energy Star, Single Family Residential	45,477
	Single Family Residential	3,049
Gary Goodman	Home Perf w Energy Star, Single Family Residential	42,282
Gault Auto Mall Co. Inc.	Electric Vehicles - Rebate, Clean Transportation	23,100
Gault Chevrolet Co. Inc.	Electric Vehicles - Rebate, Clean Transportation	8,000
Geotherm Inc.	Geothermal Incentive Program, Clean Heating & Cooling	131,160
Geothermal Energy Options	Geothermal Incentive Program, Clean Heating & Cooling	39,375
Get Green Home Improvements LLC	Home Perf w Energy Star, Single Family Residential	8,615
Global Dwelling, LLC	Home Perf w Energy Star, Single Family Residential	140,410

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Contractor	Contract Description	Total Expended Amount
Global Dwelling, LLC	RENEWABLE HEAT NY, Clean Heating & Cooling	2,000
	Single Family Residential	13,547
Gomez Comfort Systems, LLC	Home Perf w Energy Star, Single Family Residential	11,334
	Single Family Residential	4,506
Graves Bros.	Home Perf w Energy Star, Single Family Residential	271,838
Great Neck Ford LLC	Clean Transportation	22,000
	Electric Vehicles - Rebate, Clean Transportation	4,400
Green Audit USA, Inc.	Home Perf w Energy Star, Single Family Residential	5,289
	RENEWABLE HEAT NY, Clean Heating & Cooling	2,500
Green Building Consulting, LLC	NEW YORK ENERGY STAR HOMES, New Construction	6,000
Green City Force	Home Perf w Energy Star, Single Family Residential	128,265
	Single Family Residential	6,882
Green Home Innovations, Inc	EMPOWER NY, Single Family Residential	81,429
	Home Perf w Energy Star, Single Family Residential	90,518
	Single Family Residential	23,353
Green Home Logic, Inc.	Home Perf w Energy Star, Single Family Residential	54,517
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
GREENTECH Certified Energy Specialists,	Home Perf w Energy Star, Single Family Residential	4,879
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Habberstad Motorsport Inc.	Clean Transportation	21,700
		12,700
	Electric Vehicles - Rebate, Clean Transportation	4,700
		1,000
Halcyon Inc.	EMPOWER NY, Single Family Residential	39,298
	Home Perf w Energy Star, Single Family Residential	1,792,377
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,150
	Single Family Residential	77,809
Halcyon, Inc.	Geothermal Incentive Program, Clean Heating & Cooling	31,485
Haraden Motorcar Corp	Electric Vehicles - Rebate, Clean Transportation	6,800
Hawn Heating & Energy Services LLC	Home Perf w Energy Star, Single Family Residential	24,888
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Underutilized Products, Products	500
Healey Chevrolet Inc.	Electric Vehicles - Rebate, Clean Transportation	21,400
Healthy Home Energy & Consulting, Inc.	Home Perf w Energy Star, Single Family Residential	83,540
Hearths A Fire Inc.	RENEWABLE HEAT NY, Clean Heating & Cooling	125,000
Hempstead Lincoln Mercury Motors Corp.	Clean Transportation	35,200
	Electric Vehicles - Rebate, Clean Transportation	4,400
Henry Interior, Inc.	Underutilized Products, Products	9,000
Home Energy Consultants Inc.	Home Perf w Energy Star, Single Family Residential	85,099
	Single Family Residential	5,675
Home Performance Professionals, Inc.	EMPOWER NY, Single Family Residential	46,748
	Home Perf w Energy Star, Single Family Residential	17,268
	Single Family Residential	20,088
Home Star Energy Services, Inc.	EMPOWER NY, Single Family Residential	4,413
	Home Perf w Energy Star, Single Family Residential	10,392
Honeywell International Inc.	Home Perf w Energy Star, Single Family Residential	394
Hoselton Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	59,900
Hoselton Imports, Inc	Electric Vehicles - Rebate, Clean Transportation	57,200
Hoselton Nissan Inc	Electric Vehicles - Rebate, Clean Transportation	8,500
HSC Associates Heating & Air Conditionin	Underutilized Products, Products	5,000
Iceberg Mechanical Corp	Underutilized Products, Products	50,225

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Contractor	Contract Description	Total Expended Amount
Ide Pontiac Inc	Electric Vehicles - Rebate, Clean Transportation	5,100
Ideal Energy Solutions LLC	EMPOWER NY, Single Family Residential	231,244
	Home Perf w Energy Star, Single Family Residential	173,913
	Single Family Residential	4,762
IGM Holdings, Inc.	Home Perf w Energy Star, Single Family Residential	616,933
	Single Family Residential	16,274
Innovation Now, LLC	Home Perf w Energy Star, Single Family Residential	9,051
Installed Building Products	EMPOWER NY, Single Family Residential	80,503
	Home Perf w Energy Star, Single Family Residential	20,636
Isaac Heating and Air Conditioning, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	1,213
	Home Perf w Energy Star, Single Family Residential	965,289
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	31,194
Ivy Lea Construction	EMPOWER NY, Single Family Residential	148,371
	Home Perf w Energy Star, Single Family Residential	159,754
	Single Family Residential	6,832
J and C Autoworld LLC d/b/a Advantage To	Clean Transportation	15,400
	Electric Vehicles - Rebate, Clean Transportation	3,300
J Synergy Green Inc	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	500
	Home Perf w Energy Star, Single Family Residential	6,604
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,455
J.A.B & Co. Inc.	Clean Transportation	5,100
Jack Serman Inc.	Electric Vehicles - Rebate, Clean Transportation	11,000
James Cars of Rome LLC	Electric Vehicles - Rebate, Clean Transportation	5,500
James Chevrolet of Johnstown LLC	Electric Vehicles - Rebate, Clean Transportation	13,600
James Richard Meehan III	Home Perf w Energy Star, Single Family Residential	12,576
Jardine Inc	Electric Vehicles - Rebate, Clean Transportation	24,200
JCB Specialties, Inc.	Home Perf w Energy Star, New Construction	360
	Low Rise New Construction, New Construction	288
	OTHER PROGRAM AREA, Corporate Marketing	345
JJLG Motors Inc	Electric Vehicles - Rebate, Clean Transportation	5,500
JM Huntington Motors LLC	Clean Transportation	24,200
	Electric Vehicles - Rebate, Clean Transportation	2,200
Joe Basil Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	19,600
John Betlem Heating & Cooling Inc	Home Perf w Energy Star, Single Family Residential	103,600
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,845
Joint Council of Economic Opportunity	Home Perf w Energy Star, Single Family Residential	54,663
JPK Imports of Oneonta	Electric Vehicles - Rebate, Clean Transportation	11,000
JS Atlantic Auto Sales, LLC	Clean Transportation	5,100
	Electric Vehicles - Rebate, Clean Transportation	1,700
JS Autoworld, LLC	Clean Transportation	20,900
	Electric Vehicles - Rebate, Clean Transportation	2,200
JS Huntington Auto Sales LLC	Clean Transportation	11,000
JS Huntington Motors LLC	Clean Transportation	17,100
K&L Green Operations LLC	EMPOWER NY, Single Family Residential	11,168
Karp Automotive, Inc	Clean Transportation	37,900
	Electric Vehicles - Rebate, Clean Transportation	11,300
KI-PO Motors Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	9,100
Kinderhook Sales Inc	Electric Vehicles - Rebate, Clean Transportation	18,700
Kingston Automotive LLC	Clean Transportation	1,700
	Electric Vehicles - Rebate, Clean Transportation	10,200
Knoth Heating & Mechanical	Home Perf w Energy Star, Single Family Residential	18,617

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Contractor	Contract Description	Total Expended Amount
Knonth Heating & Mechanical	Underutilized Products, Products	1,000
Koepfel Nissan Inc	Clean Transportation	1,700
	Electric Vehicles - Rebate, Clean Transportation	3,400
Kool-Temp Heating & Cooling	Geothermal Incentive Program, Clean Heating & Cooling	6,345
	Home Perf w Energy Star, Single Family Residential	3,941
	Underutilized Products, Products	6,500
L & S Motors Inc	Clean Transportation	13,600
L2 Automotive, Inc.	Clean Transportation	3,700
	Electric Vehicles - Rebate, Clean Transportation	37,900
L.B. Auto of 112 LLC	Clean Transportation	5,500
	Electric Vehicles - Rebate, Clean Transportation	1,100
Lake Country Geothermal, Inc.	Campus/Technical Assistance, Clean Heating & Cooling	2,106
	Geothermal Incentive Program, Clean Heating & Cooling	8,370
Lash Auto Group LLC	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	12,000
LeBrun LLC	Electric Vehicles - Rebate, Clean Transportation	12,100
Lewis County Opportunities, Inc.	Home Perf w Energy Star, Single Family Residential	7,456
Lia Automotive, LLC	Electric Vehicles - Rebate, Clean Transportation	9,900
LIC Motor Group	Clean Transportation	3,300
	Electric Vehicles - Rebate, Clean Transportation	2,200
LinLi HVAC Inc	Underutilized Products, Products	66,024
LJ Marchese Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	15,900
Long Island Power Authority	GJGNY REVOLVING LOAN FUND, Products	1,145
	GJGNY REVOLVING LOAN FUND, Single Family Residential	36,812
Lotze Insulation Design, Inc.	EMPOWER NY, Single Family Residential	7,150
	Home Perf w Energy Star, Single Family Residential	415,543
	Single Family Residential	17,654
Lucas Ford Lincoln Mercury Inc	Clean Transportation	70,400
Luxury Cars of Bayside Inc.	Clean Transportation	9,600
	Electric Vehicles - Rebate, Clean Transportation	2,000
Luxury Vehicles of Hudson Valley	Electric Vehicles - Rebate, Clean Transportation	6,100
Lyford Motors	Electric Vehicles - Rebate, Clean Transportation	22,000
Mack Markowitz Inc	Clean Transportation	11,000
	Electric Vehicles - Rebate, Clean Transportation	1,100
Madison Aquisitions Group LLC	Clean Transportation	7,800
	Electric Vehicles - Rebate, Clean Transportation	500
Maguire Automotive LLC	Electric Vehicles - Rebate, Clean Transportation	12,100
Maguire Chevrolet LLC	Electric Vehicles - Rebate, Clean Transportation	8,500
Maguire Motors LLC	Electric Vehicles - Rebate, Clean Transportation	60,100
Malcarne Contracting, Inc.	Home Perf w Energy Star, Single Family Residential	23,443
Malta Development Company Inc	Low Rise New Construction, New Construction	7,600
Manfredi Chevrolet LLC	Electric Vehicles - Rebate, Clean Transportation	5,400
Mangino Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	11,100
Margert Community Corporation	Home Perf w Energy Star, Single Family Residential	45,728
	Single Family Residential	11,776
Martin B Devit	Geothermal Incentive Program, Clean Heating & Cooling	15,615
Massapequa Motors LLC	Clean Transportation	12,100
	Electric Vehicles - Rebate, Clean Transportation	1,100
Mercedes-Benz Manhattan, Inc.	Clean Transportation	1,700
	Electric Vehicles - Rebate, Clean Transportation	31,100
Metro NY Insulation LLC	Home Perf w Energy Star, Single Family Residential	69,932

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 10/1/2017 through 3/31/2018

Contractor	Contract Description	Total Expended Amount
Metro NY Insulation LLC	Single Family Residential	662
Mike Basil Motors Inc.	Electric Vehicles - Rebate, Clean Transportation	13,200
Milea Truck Sales Inc	CLEAN TRANSPORTATION, Clean Transportation	650,000
Millennium Super Store, LLC	Clean Transportation	19,800
	Electric Vehicles - Rebate, Clean Transportation	3,300
Mohawk Valley Community Action Agency	Home Perf w Energy Star, Single Family Residential	176,631
	Single Family Residential	1,187
Mondial Automotive, Inc.	CLEAN TRANSPORTATION, Clean Transportation	1,057,816
MTECH Laboratories, LLC	ADVANCED BUILDINGS, Advanced Buildings	12,017
Mullarney's Garden Center	Renewable Heat NY, Clean Heating & Cooling	101,500
National Home Performance Council	Home Perf w Energy Star, New Construction	150
	Low Rise New Construction, New Construction	100
Nebraska Plumbing & Heating	Home Perf w Energy Star, Single Family Residential	8,205
Neighborhood Housing Services	Home Perf w Energy Star, Single Family Residential	176,662
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	6,507
Neighborhood Housing Services (N.H.S) of	EMPOWER NY, Single Family Residential	39,170
	Home Perf w Energy Star, Single Family Residential	46,244
NESCAUM	Environmental Research, Environmental Research	4,000
New York Academy of Medicine	EXISTING FACILITIES, Commercial	16,738
New York Business Development Corp	GJGNY REVOLVING LOAN FUND, Commercial	600
New York Conservation Services Corp	EMPOWER NY, Single Family Residential	4,971
	Home Perf w Energy Star, Single Family Residential	543,696
	Single Family Residential	44,736
New York Homeowners Construction Co., LL	Home Perf w Energy Star, Single Family Residential	33,570
Newins Bay Shore Ford Inc	Clean Transportation	16,000
	Electric Vehicles - Rebate, Clean Transportation	1,100
Niagara Mohawk Power Corporation	GJGNY REVOLVING LOAN FUND, Products	372
	GJGNY REVOLVING LOAN FUND, Single Family Residential	5,508
Nispen Building Performance, Inc.	Home Perf w Energy Star, Single Family Residential	76,173
	Renewable Heat NY, Clean Heating & Cooling	7,500
Nissan 112 Sales Corp	Clean Transportation	11,900
North Country Windows	Home Perf w Energy Star, Single Family Residential	7,290
North East Underlayments LLC	Home Perf w Energy Star, Single Family Residential	13,821
North Shore Chevrolet of Smithtown	Clean Transportation	26,200
	Electric Vehicles - Rebate, Clean Transportation	2,000
Northeast Home Improvement, LLC	Home Perf w Energy Star, Single Family Residential	83,147
Northeast Project Solutions	Home Perf w Energy Star, Single Family Residential	42,189
Northeast States for Coordinated Air Use	Environmental Research, Environmental Research	2,000
Northern Automotive Group Inc.	Electric Vehicles - Rebate, Clean Transportation	8,800
Northstar Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	5,100
NP Environmental LLC	Geothermal Incentive Program, Clean Heating & Cooling	72,450
	Underutilized Products, Products	3,000
NR Automotive Inc	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	7,700
Nunda Farm Service Inc.	Renewable Heat NY, Clean Heating & Cooling	26,500
Nye Automotive Group, Inc	Electric Vehicles - Rebate, Clean Transportation	11,000
NYLSI, INC	Clean Transportation	72,600
	Electric Vehicles - Rebate, Clean Transportation	5,500
NYS Energy Audits, Inc.	EMPOWER NY, Single Family Residential	6,823
	Home Perf w Energy Star, Single Family Residential	481,145

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Contract Description	Total Expended Amount
NYS Energy Audits, Inc.	Single Family Residential	17,165
O'Connor Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	37,600
ODA Community Development Corp.	Home Perf w Energy Star, Single Family Residential	16,656
	Single Family Residential	5,256
Olum's of Binghamton, Inc.	Home Perf w Energy Star, Single Family Residential	23,975
Opportunities for Chenango, Inc.	EMPOWER NY, Single Family Residential	602
	Home Perf w Energy Star, Single Family Residential	20,696
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Opportunities for Otsego, Inc.	EMPOWER NY, Single Family Residential	7,529
	Home Perf w Energy Star, Single Family Residential	70,847
Orange and Rockland Utilities, Inc.	Admin-General Charges	65,663
	GJGNY REVOLVING LOAN FUND, Single Family Residential	1,958
Orange County	Clean Energy Communities, Communities & Local Government	5,000
Orange EV LLC	CLEAN TRANSPORTATION, Clean Transportation	645,840
Otis Ford Inc	Clean Transportation	13,200
Paddock Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	57,800
PAG Greenwich B1, LLC	Electric Vehicles - Rebate, Clean Transportation	30,400
Pana Nissan, LLC	Clean Transportation	5,400
	Electric Vehicles - Rebate, Clean Transportation	11,900
Parkway II LLC	Electric Vehicles - Rebate, Clean Transportation	12,100
Patchogue 112 Motors LLC	Clean Transportation	22,600
	Electric Vehicles - Rebate, Clean Transportation	1,100
Pathstone Corporation	Home Perf w Energy Star, Single Family Residential	10,327
PEG	Low Rise New Construction, New Construction	11,300
	Low Rise New Construction, RES-NewConst(no longer in use)	4,900
Penns Worldwide Auto Superstore LTD	Clean Transportation	29,700
	Electric Vehicles - Rebate, Clean Transportation	5,500
People's Equal Action & Community Effort	Home Perf w Energy Star, Single Family Residential	87,794
	Single Family Residential	3,033
Performance Systems Development, Inc.	Low Rise New Construction, New Construction	1,300
	Low Rise New Construction, RES-NewConst(no longer in use)	5,000
	NEW YORK ENERGY STAR HOMES, New Construction	300
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in use)	6,000
Phoenix Mechanical	Home Perf w Energy Star, Single Family Residential	16,504
	Underutilized Products, Products	5,000
Polsinello Fuels, Inc	Home Perf w Energy Star, Single Family Residential	8,561
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Prestige Automobiles Inc.	Electric Vehicles - Rebate, Clean Transportation	44,000
Prime Time Energy Services, Inc.	EMPOWER NY, Single Family Residential	164,381
	Home Perf w Energy Star, Single Family Residential	87,925
	Single Family Residential	14,592
Pro Action of Steuben & Yates, Inc.	EMPOWER NY, Single Family Residential	5,179
	Home Perf w Energy Star, Single Family Residential	21,648
	Single Family Residential	2,194
R. McLagan, Inc.	Home Perf w Energy Star, Single Family Residential	6,818
	Single Family Residential	298
Rallye Westbury, LLC	Clean Transportation	22,700
	Electric Vehicles - Rebate, Clean Transportation	5,000
Ramp Motors Inc	Clean Transportation	15,400
Ray Catena of Westchester, LLC	Electric Vehicles - Rebate, Clean Transportation	22,000
Reynolds Group Enterprises, Inc.	Renewable Heat NY, Clean Heating & Cooling	16,500

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 10/1/2017 through 3/31/2018

Contractor	Contract Description	Total Expended Amount
RHM Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	330
	Home Perf w Energy Star, Single Family Residential	26,304
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
Richair Mechanical Inc.	Underutilized Products, Products	7,500
Rivera Auto Group Inc	Electric Vehicles - Rebate, Clean Transportation	33,000
Riverhead Auto Mall LTD	Clean Transportation	8,500
Riverhead Motors, Inc.	Clean Transportation	9,900
RJ Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	64,100
Robert Chevrolet Inc	Clean Transportation	14,200
	Electric Vehicles - Rebate, Clean Transportation	1,700
Roberto R Romano	Geothermal Incentive Program, Clean Heating & Cooling	6,750
Rochester Gas & Electric Corp.	Admin-General Charges	977,957
	GJGNY REVOLVING LOAN FUND, Single Family Residential	569
Rodney Lind	EMPOWER NY, Single Family Residential	3,908
	Home Perf w Energy Star, Single Family Residential	20,055
	Single Family Residential	1,113
Romano Toyota	Electric Vehicles - Rebate, Clean Transportation	41,800
Romeo Chevrolet Buick GMC	Electric Vehicles - Rebate, Clean Transportation	44,200
Ruge's Automotive, Inc.	Electric Vehicles - Rebate, Clean Transportation	5,700
Ryan Homes (Virginia)	Low Rise New Construction, New Construction	77,900
	Low Rise New Construction, RES-NewConst(no longer in use)	950
Ryan Plumbing Heating Air Conditioning	Home Perf w Energy Star, Single Family Residential	59,696
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	830
Rycor LLC	Underutilized Products, Products	129,000
S & H Associates LLC	Electric Vehicles - Rebate, Clean Transportation	21,400
SANFILIPPO SOLUTIONS INC.	EMPOWER NY, Single Family Residential	27,787
	Home Perf w Energy Star, Single Family Residential	14,404
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,446
	Renewable Heat NY, Clean Heating & Cooling	6,500
Saratoga Imports Inc	Electric Vehicles - Rebate, Clean Transportation	11,000
SC Auto Corp	Clean Transportation	95,700
	Electric Vehicles - Rebate, Clean Transportation	16,500
Schultz Ford Lincoln Inc.	Electric Vehicles - Rebate, Clean Transportation	7,800
Seneca County Weatherization	Home Perf w Energy Star, Single Family Residential	24,599
	Single Family Residential	3,668
Sharp's Bulk Food Store	Renewable Heat NY, Clean Heating & Cooling	91,500
Sigma Tremblay, LLC	Home Perf w Energy Star, Single Family Residential	38,824
	Underutilized Products, Products	500
Simply Home Performance	Home Perf w Energy Star, Single Family Residential	53,608
	Single Family Residential	11,406
Sky Business Credit LLC	Home Perf w Energy Star, Single Family Residential	8,528
Smith Cairns Ford, Inc	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	9,900
Snug Planet, LLC	Home Perf w Energy Star, Single Family Residential	84,955
	Underutilized Products, Products	8,500
Snyder Manufacturing, Inc	Geothermal Incentive Program, Clean Heating & Cooling	8,040
Solar Energy Haus, Inc.	Single Family Residential	12,399
South Shore Motors Corp	Clean Transportation	16,500
	Electric Vehicles - Rebate, Clean Transportation	1,100
St. Lawrence County Development Program	EMPOWER NY, Single Family Residential	487
	Home Perf w Energy Star, Single Family Residential	4,589

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 10/1/2017 through 3/31/2018

Contractor	Contract Description	Total Expended Amount
St. Lawrence County Development Program	Single Family Residential	601
St. Lawrence Gas	Admin-General Charges	6,680
Standard Insulating Company	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	190
	EMPOWER NY, Single Family Residential	42,787
	Home Perf w Energy Star, Single Family Residential	547,918
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,431
	Single Family Residential	6,329
Stateside Auto Sales Inc.	Electric Vehicles - Rebate, Clean Transportation	15,400
Steet Ponte Inc	Electric Vehicles - Rebate, Clean Transportation	6,600
		12,100
Steven Winter Associates, Inc.	Low Rise New Construction, RES-NewConst(no longer in use)	100
	NEW YORK ENERGY STAR HOMES, New Construction	9,500
Stewart Title Insurance Company	GJGNY REVOLVING LOAN FUND, Commercial	780
	GJGNY REVOLVING LOAN FUND, Single Family Residential	28,964
STNO, LLC	Clean Transportation	37,400
	Electric Vehicles - Rebate, Clean Transportation	1,100
Stoler of Westbury	Clean Transportation	17,600
	Electric Vehicles - Rebate, Clean Transportation	6,600
Sun Dance Pool N Patio Inc.	Renewable Heat NY, Clean Heating & Cooling	57,500
Sunrise Automall LLC	Clean Transportation	8,500
Sunset Park Redevelopment Comm	Home Perf w Energy Star, Single Family Residential	28,328
Superior Energy Innovations, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	301
	EMPOWER NY, Single Family Residential	161,064
	Home Perf w Energy Star, Single Family Residential	78,215
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	3,287
	Single Family Residential	5,698
Superior Insulation Co., LLC	EMPOWER NY, Single Family Residential	1,899
	Home Perf w Energy Star, Single Family Residential	448,127
	Single Family Residential	24,489
Supportive Services Corporation	EMPOWER NY, Single Family Residential	3,619
	Home Perf w Energy Star, Single Family Residential	2,390
Sustainable Comfort, Inc	Low Rise New Construction, New Construction	5,600
	NEW YORK ENERGY STAR HOMES, New Construction	7,000
Syracuse University	Retrofit NY, Consumer Serv & Events Managem	1,173
T.J.Nik Corp	Clean Transportation	11,800
	Electric Vehicles - Rebate, Clean Transportation	2,800
TAG Mechanical Systems, Inc.	Home Perf w Energy Star, Single Family Residential	19,944
	Single Family Residential	1,305
	Underutilized Products, Products	1,500
Tall Pines Farm Inc.	Renewable Heat NY, Clean Heating & Cooling	5,000
Taylor Heating Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	710
	EMPOWER NY, Single Family Residential	110
	Home Perf w Energy Star, Single Family Residential	225,750
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,173
	Single Family Residential	13,205
TBS Acquisition Corp	Clean Transportation	36,800
	Electric Vehicles - Rebate, Clean Transportation	2,000
Tesla Motors New York LLC	Clean Transportation	5,500
		3,000
	Electric Vehicles - Rebate, Clean Transportation	11,000
		16,000

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 10/1/2017 through 3/31/2018

Contractor	Contract Description	Total Expended Amount
The ACF Group, LLC	CLEAN TRANSPORTATION, Clean Transportation	23,384
The Bicknell Corporation	Renewable Heat NY, Clean Heating & Cooling	14,000
The Dorschel Group	Electric Vehicles - Rebate, Clean Transportation	39,600
		28,400
The Energy Doctors	Home Perf w Energy Star, Single Family Residential	31,348
	Single Family Residential	8,230
The Fireplace Company Inc.	Renewable Heat NY, Clean Heating & Cooling	8,000
The Insulation Man LLC	Home Perf w Energy Star, Single Family Residential	72,098
The Radiant Store	Home Perf w Energy Star, Single Family Residential	7,793
	Underutilized Products, Products	6,000
Three Peaks Energy Corp.	Home Perf w Energy Star, Single Family Residential	58,842
	Single Family Residential	1,246
Tioga Opportunities Inc.	EMPOWER NY, Single Family Residential	7,392
	Home Perf w Energy Star, Single Family Residential	246,048
	Single Family Residential	6,272
TLL Motors Inc	Clean Transportation	103,400
	Electric Vehicles - Rebate, Clean Transportation	6,600
Tompkins Community Action	Home Perf w Energy Star, Single Family Residential	38,138
Town of Bethel	Clean Energy Communities, Communities & Local Government	5,000
Town of New Paltz	Clean Energy Communities, Communities & Local Government	5,000
Town of Shelter Island	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
Town of Southampton	CLEANER GREENER COMMUNITIES, Communities & Local Government	5,000
TRS Heating and Air Conditioning Co., In	Home Perf w Energy Star, Single Family Residential	6,361
True Building Performance LLC	Home Perf w Energy Star, Single Family Residential	74,129
	Single Family Residential	3,972
True Energy Solutions	Home Perf w Energy Star, Single Family Residential	191,570
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
	Single Family Residential	12,162
Ulster Construction Co. Inc.	Home Perf w Energy Star, Single Family Residential	29,352
	Single Family Residential	21,158
Ulster County Community Action, Inc.	Home Perf w Energy Star, Single Family Residential	114,417
	Single Family Residential	538
Upstate Holding Group, LLC	Renewable Heat NY, Clean Heating & Cooling	14,000
Upstate Imports Inc	Electric Vehicles - Rebate, Clean Transportation	7,700
Upstate Spray Foam Insulation, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	195
	EMPOWER NY, Single Family Residential	6,984
	Home Perf w Energy Star, Single Family Residential	83,056
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	200
	Single Family Residential	3,769
Van Bortel Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	37,900
Van Bortel Ford Inc.	Electric Vehicles - Rebate, Clean Transportation	6,600
Van Hee Mechanical	Geothermal Incentive Program, Clean Heating & Cooling	77,685
Vanderstyne Motor Sales Inc	Electric Vehicles - Rebate, Clean Transportation	15,400
VanWie Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	5,100
Victor Auto Group LLC	Electric Vehicles - Rebate, Clean Transportation	33,400
Village of New Paltz	Clean Energy Communities, Communities & Local Government	5,000
Vulcan Enterprises LLC	RENEWABLE HEAT NY, Clean Heating & Cooling	12,000
Waite Motor Sales Inc	Electric Vehicles - Rebate, Clean Transportation	5,500
Warren/Hamilton Counties ACEO	Home Perf w Energy Star, Single Family Residential	32,439
	Single Family Residential	15,582
WaterFurnace International, Inc.	Campus/Technical Assistance, Clean Heating & Cooling	6,677

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 10/1/2017 through 3/31/2018

Contractor	Contract Description	Total Expended Amount
Wayne County Action Program	EMPOWER NY, Single Family Residential	387
	Home Perf w Energy Star, Single Family Residential	9,225
West Herr Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	6,800
West Herr Ford of Amherst LLC	Electric Vehicles - Rebate, Clean Transportation	5,500
West Herr Imports LLC	Electric Vehicles - Rebate, Clean Transportation	15,400
West Nyack Motor Cars LLC	Clean Transportation	4,500
	Electric Vehicles - Rebate, Clean Transportation	86,700
Whalen Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	5,400
Whiteman Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	15,400
Williams Auto Plaza IV, LLC	Electric Vehicles - Rebate, Clean Transportation	5,100
Willie Oxendine	EMPOWER NY, Single Family Residential	1,036
	Home Perf w Energy Star, Single Family Residential	26,342
	Single Family Residential	7,419
Wireless Sensor Solutions	CLEAN TRANSPORTATION, Clean Transportation	21,565
Wisconsin Energy Conservation Corp	>200KW PV, NY-Sun	38,190
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	80,888
	GJGNY REVOLVING LOAN FUND, Single Family Residential	214,670
	Home Perf w Energy Star, Low/Moderate Income	31,898
	Home Perf w Energy Star, Single Family Residential	3,500,158
	Solar Thermal, Clean Heating & Cooling	17,580
Wise Home Energy, LLC	EMPOWER NY, Single Family Residential	16,455
	Home Perf w Energy Star, Single Family Residential	295,242
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
WK Mechanical	Underutilized Products, Clean Heating & Cooling	2,279
	Underutilized Products, Products	3,658
Woodbridge Construction Inc.	Home Perf w Energy Star, Single Family Residential	76,238
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	8,252
WS Healey Chevrolet Buick Inc.	Electric Vehicles - Rebate, Clean Transportation	15,400
XL Hybrids, Inc	CLEAN TRANSPORTATION, Clean Transportation	1,799,928
Yonkers Auto Outlet Inc	Clean Transportation	5,100
	Electric Vehicles - Rebate, Clean Transportation	55,400
Zenith Sales of Indiana	CLEAN TRANSPORTATION, Clean Transportation	157,527
Zenner and Ritter Inc.	EMPOWER NY, Single Family Residential	36,786
	Home Perf w Energy Star, Single Family Residential	18,013
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	5,241
	Underutilized Products, Products	2,000
Zerodraft of CNY - Syracuse	EMPOWER NY, Single Family Residential	10,337
	Home Perf w Energy Star, Single Family Residential	465,505
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,071
	Single Family Residential	7,274
Grand Total		37,970,762

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

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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
Akwasne Housing Authority	12/5/2017	NY-SUN, Affordable Solar Akwasne	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

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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	FUEL NY, Tech Review & Program Staff	53,599
3/23/2018	FUEL NY, Tech Review & Program Staff	450,136	
Arctic Air Mechanical Corp	12/4/2017	NYSERDA ADMINISTRATION, HVAC for NY Office	16,800
Arnot Ogdan 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, RFP 3462	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	18,200
Bergmann Associates	11/1/2017	Industrial Process Effic, Technical Review and Program S	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, Technical Review and Program S	2,080
	1/5/2018	Flexible Tech Assistance, Technical Review and Program S	25,600
		FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and ..	33,600
		Industrial Process Effic, Technical Review and Program S	22,400
		INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	78,400
	1/9/2018	Industrial Process Effic, Technical Review and Program S	4,750
	1/17/2018	Industrial Process Effic, Technical Review and Program S	5,450
	1/25/2018	Renewable Heat NY, Technical Review and Program S	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

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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 Pre-Dev Act, 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, RFP 3462	73,800
	1/2/2018	Off-Shore Wind Pre-Dev Act, RFP 3462	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 Assocates, 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	4,780,441
		HOME PERFORMANCE WITH ENERGY STAR, Technical Sup..	134,481
	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	12,600
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	Underutilized Products, 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
Columbia University	10/27/2017	Industrial Process Effic, Industrial Process Efficiency	11,420

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
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 EXISTING FACILITIES, EFP/DMP2499 - Cutone; Fordham	69,600 111
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 Maintenanc..	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	3/29/2018	<200KW PV, NY-Sun	6,510
Dolomite Products Group, Inc.	11/1/2017	Industrial Process Effic, Industrial Process Efficiency	46,427
Douglas R Jarvis	12/19/2017	<200KW PV, NY Sun	5,513
Downstream Construction, LLC	10/2/2017	<200KW PV, NY Sun	9,928

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Downstream Construction, LLC	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 Pre-Dev Act, RFP 3462	476,453
	10/30/2017	Environmental Research, RFP 3462	0
		Off-Shore Wind Pre-Dev Act, RFP 3462	106,773
	2/14/2018	Off-Shore Wind Pre-Dev Act, RFP 3462	131,820
	2/22/2018	Off-Shore Wind Pre-Dev Act, RFP 3462	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	NY-SUN, Staff Augmentation Services	741,675
		NYSERDA ADMINISTRATION, Staff Augmentation Services	741,675
	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
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

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Energy & Resource Solutions, Inc.	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
	3/21/2018	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
		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
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
Ensava, 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, RFP 3462	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	
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

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Extraterrestrial Materials Inc.	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 Erhart/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
		FUEL NY, PGI00163 - Gaseteria Oil Corp.	65,668
	2/20/2018	FUEL NY, PGI00222 - Gaseteria Oil Corp.	61,742
		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
	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

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
GENE SOLAR I LLC	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
	1/22/2018	Commercial Real Estate Ten, GoldmanCopel- 435 Hudson St-CT	10,969
		Commercial Real Estate Ten, Goldman Copeland-40 Fulton-CT	10,997
	1/26/2018	Commercial Real Estate Ten, Goldman Copeland-350 Park A-CT	10,997
		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 BEEEx 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
	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

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Harvest Power, LLC	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	51,765
		Home Perf w Energy Star, RFQL 3434 Cat1 Res SF	152,381
		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
IBM Corporation	10/24/2017	NYSERDA ADMINISTRATION, Replacement for PPSI Site	34,129
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
Institute for Building Technology and Sa	1/25/2018	Underutilized Products, RFQL 3434 IBTS Standards & QA	95,000
	1/26/2018	Underutilized Products, RFQL 3434 IBTS Standards & QA	50,000
	1/31/2018	EMPOWER NY, RFQL 3434 IBTS Standards & QA	136,537

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Institute for Building Technology and Sa	1/31/2018	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
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
Kasselmann 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
	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

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Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Kilowatt Engineering, Inc.	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	Code to Zero, Codes	100,000	
		New Construction- Housing, New Construction	100,000	
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	
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	

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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 Incentve	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
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

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Mount Sinai Medical Center	11/13/2017	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	86,000
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	
		Renewable Heat NY, RFQL3685 Round 1	52,500
Network Experts of New York, 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	125,000
		New Construction- Commercial, New Construction	75,000
		New Construction- Housing, New Construction	50,000
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 Efficl..	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
	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

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
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	148,401
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
Oracle America, Inc.	12/7/2017	NYSERDA ADMINISTRATION, UPK Developer Licenses - 2	19,755
	1/12/2018	NYSERDA ADMINISTRATION, Peoplesoft - Oracle 2018/2019	53,598
OwnBackup Inc.	12/14/2017	NYSERDA ADMINISTRATION, Salesforce Backup Solution	18,630
Pace University School of Law	12/28/2017	>200KW PV, CGC31911 - Pace Law School	200,000
Palm Beach Home for Adults, Inc.	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
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

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
PMG Northeast LLC	11/1/2017	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
		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, RFP 3462	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
R & B Quality Electric, Inc.	1/3/2018	<200KW PV, NY Sun	10,150
R3 Energy Management Audit & Review..	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.	5,413
		NYSERDA ADMINISTRATION, temp services	78,000
		NYSERDA ADMINISTRATION, Temp Services Contract.	18,587
	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
	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.	3,307	
	NYSERDA ADMINISTRATION, temp services	70,525	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Randstad North America, Inc.	12/4/2017	NYSERDA ADMINISTRATION, Temp Services Contract.	16,386	
		NYSERDA ADMINISTRATION, Temporary Services	116,250	
		Residential-Engaging New Mkts, Temp Services Contract.	3,307	
	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	
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	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
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	TBD, 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 libray 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
	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	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
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
	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

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
SunPower Capital, LLC	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
	2/21/2018	<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
	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

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
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
	12/18/2017	Combined Heat and Power, CHPA - 34-46 Vernon East	171,000
		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
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

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
The American Institute of Architects	1/3/2018	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, Inc.	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 Pre-Dev Act, 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-RTEM	35,273
	12/6/2017	Commercial New Construc, EMP - Weidt	14,950
	3/5/2018	Real Time Enrgy Management, Environ-257 Park Ave S-RTEM	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-RTEM	101,829
		Real Time Enrgy Management, Mosholu-3450 Dekalb Ave-RTEM	114,623
	10/27/2017	Real Time Enrgy Management, Hines - 375 Hudson St - RTEM	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
	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

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
TRC Energy Services	1/5/2018	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	25,200
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
	11/10/2017	Underutilized Products, 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

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Vidaris, Inc.	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	321,549
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
	3/28/2018	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
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

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
You Save Green Incorporated	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			1,680,649,526

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Mukti 166 Petroleum Inc	FUEL NY, PGI00287 - Mukti 166 Petroleum	84,850
Second Street Enterprise Inc.	FUEL NY, PGI00265 - Second Street Enter	82,950
1st Light Energy, Inc.	<200KW PV, NY Sun	46,367
	<200KW PV, NY-Sun	44,324
3 Times Square Associates LLC	EXISTING FACILITIES, EFP2509 - 3 Times Square	188,177
23 Acad St., LLC	GREEN AFFORDABLE HOUSING, Multifamily	14,495
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	48,676
25 WA Associates, LLC	NEW CONSTRUCTION PROGRAM, NCP98322 - Steiner Studios	233,355
55 Prospect Owner LLC	NEW CONSTRUCTION PROGRAM, NCP11957 - 55 Prospect Street	53,844
95 Evergreen Building Investors III LLC	NEW CONSTRUCTION PROGRAM, NCP13055 - 95 Evergreen	25,456
109 Gas Corp.	FUEL NY, GSP00223 - 109 Gas Corp.	13,000
115 Lenox Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	73,600
117 Adams Owners LLC	NEW CONSTRUCTION PROGRAM, NCP11960 - 117 Adams Street Br	81,473
133 Greenwich St Associates LLC	NEW CONSTRUCTION PROGRAM, NCP11289 - 133 Greenwich St	182,320
146 Tuckahoe Road LLC	FUEL NY, GSP00121 - 146 Tuckahoe Road L	13,000
174-02 Horace Harding Expressway Operati	FUEL NY, GSP00729 - 174-02 Horace Hardi	10,000
175-33 Horace Harding Expressway Service	FUEL NY, GSP00730 - 175-33 Horace Hardi	10,000
	FUEL NY, PGI00114 - 175-33 Horace Hardi	15,352
183 Lorraine St, LLC	Flexible Tech Assistance, FlexTech Program - PON1746	17,500
212 Petroleum Corp	FUEL NY, GSP00812 - 212 Petroleum Corp	10,000
300 Park Avenue Inc	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON 1746	20,500
305 Gas Corp	FUEL NY, GSP00811 - 305 Gas Corp	10,000
315 East 68th Street Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	74,250
345 East 73rd Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	127,800
415 W 46 Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	20,000
443 Gas Corp	FUEL NY, PGI00111 - 443 Gas Corp.	16,140
455 Hospitality LLC	Multifam Performance Pgm, 2017 Multifamily Summit	50,000
500 Trinity LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	221,250
555 EAST 169th Holdings	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	18,000
860 Washington Street LLC	NEW CONSTRUCTION PROGRAM, NCP11560 - 860 Washington Stre	102,072
985 Bruckner Boulevard	Multifam New Construction, MFNCP PHI T3-985 Bruckner Blvd	300,000
1120 Avenue of the Americas LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech - PON1746	14,000
1251 Americas Associates II, LP	FLEXIBLE TECHNICAL ASSISTANCE, 1746EPS1SB	139,661
1258 Middle Country Realty LLC	FUEL NY, PGI00073 - 1258 Middle Country	93,612
1414 Holdings, LLC	NEW CONSTRUCTION PROGRAM, NCP10451 - 1414 Holdings LLC	162,564
1534 Selwyn Avenue Co.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	87,600
1738 Gas Corp.	FUEL NY, GSP00692 - 1738 Gas Corp.	10,000
2157 Realty Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	60,000
2290 Gas Corp.	FUEL NY, GSP00719 - 2290 Gas Corp.	10,000
3210 Webster Ave Corp	FUEL NY, GSP-00810 3210 Webster Ave Cor	10,000
Absolutely Energized Solar Electric Inc	NY-SUN, New York Sun Competitive PV Pr	241,353
Abt Associates Inc.	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	196,625
Abundant Solar Power Inc.	>200KW PV, NY Sun	878,701
AC 79th & Eliot Operating Corp.	FUEL NY, GSP00727 - AC 79th & Eliot Ope	10,000
AC Woodhaven Realty Corp.	FUEL NY, GSP00728 - AC Woodhaven Realty	10,000
Accord Power, Inc.	<200KW PV, NY Sun	73,340

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Active Solar Development, LLC	<200KW PV, NY Sun	17,850
	Solar Thermal, Solar Thermal Incentive	15,230
	Solar Thermal, Solar Thermal Incentives	58,382
Adam C. Boese	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	322,320
Advanced Solar Products, Inc.	NY-SUN, PV System at Bausch & Lomb	839,993
Aegis Energy Services Inc.	Combined Heat and Power, CHPA - 300 Central Park West	148,500
	Combined Heat and Power, CHPA - Grace Towers Apartment	138,600
	Combined Heat and Power, CHPA - Green Hills Home	57,750
	Combined Heat and Power, CHPA - Park Lane	207,611
	Combined Heat and Power, CHPA - Patrick Gorman	385,000
	Combined Heat and Power, CHPA - Plaza Residences 23-25	207,611
	Combined Heat and Power, CHPA - Plaza Residences 250	138,600
	Combined Heat and Power, CHPA - Remeeder House - Sheffi	69,300
	Combined Heat and Power, CHPA - Remeeder House - Sutter	69,300
	Combined Heat and Power, CHPA - Remeeder Houses - Alaba	69,300
	Combined Heat and Power, CHPA - Time Square	350,000
	Combined Heat and Power, CHPA- Remeeder House - Blake	69,300
	COMBINED HEAT AND POWER, The Hamilton CHP	135,000
Aeonsolar	<200KW PV, NY Sun	27,239
Agrivida Inc.	OTHER PROGRAM AREA, ClnEngyRes&MktDev (not in use)	141,833
AKF-engineers	Flexible Tech Assistance, FlexTech Consultants Statewide	18,330
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	94,878
Albany Convention Center Authority	NEW CONSTRUCTION PROGRAM, NCP10695 - NYS Convention C..	125,116
Albany Solar Solutions L.L.C.	<200KW PV, NY Sun	11,712
Albert Apartment Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	175,500
All Systems Cogeneration, Inc.	COMBINED HEAT AND POWER, CHPA - Roosevelt Terrace II	198,000
	COMBINED HEAT AND POWER, CHPA - Shoreview Nursing & Reh	216,000
Alliance Energy LLC	FUEL NY, PGI00025 - Alliance Energy LLC	94,913
	FUEL NY, PGI00153 - Alliance Energy LLC	95,678
Alliance for Housing Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	79,200
Alliance for Sustainable Energy, LLC	MARKET PATHWAYS, Residential Products	125,000
Alliance Homes	NEW YORK ENERGY STAR HOMES, New Construction	137,500
Alliance to Save Energy	Electric Vehicles - Innovation, Clean Transportation	10,000
	Prof & Expert Engagement, 2018 membership dues	25,000
Altanova LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	80,905
Alteris Renewables Inc.	NY-SUN, RPS CST Regional Program	405,348
Alternative Power Solutions of NY, LLC	<200KW PV, NY Sun	45,476
Amergy Solar Inc.	<200KW PV, NY Sun	22,492
	<200KW PV, NY-Sun	8,698
American Council for an Energy Efficient	Prof & Expert Engagement, 2018 ACEEE Sponsorship	10,000
American Energy Care, Inc.	<200KW PV, NY Sun	9,984
	<200KW PV, NY-Sun	375,360
American Express Company	EXISTING FACILITIES, EFP2552 - AMEX - 200 Vesey Str	681,562
American Natural Gas, LLC	CLEAN TRANSPORTATION, NYS Compressed Natural Gas	379,778
American Renewable Energy, Inc.	<200KW PV, NY Sun	6,773
American Solar Partners, LLC	<200KW PV, NY-Sun	7,056

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
American Wind Energy Association	Off-Shore Wind Pre-Dev Act, 2017 sponsorship	15,000
Amphora Consulting	NYSERDA ADMINISTRATION, Energy Efficiency Markets	50,000
Antares Group, Inc.	Commercial Imp Assist, Technical Review and Program S	3,532
	EXISTING FACILITIES, Technical Review and Program S	14,187
	Industrial Process Effic, Technical Review and Program S	18,742
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	90,828
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	6,510
Apache Oil Company, Inc.	FUEL NY, GSP00294 - Apache Oil Company	13,000
Apex Solar Power LLC	<200KW PV, NY Sun	156,917
	<200KW PV, NY-Sun	41,200
Apprise, Incorporated	EVALUATION, Market Characterization Resear	50,000
Aquinas Institute, Inc.	Commercial Imp Assist, CIAP002 - Aquinas Institute	112,800
Aramark Management Srvc Ltd Prtnshp	EXISTING FACILITIES, Technical Review and Program S	3,866
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	262,055
Arcadis of New York, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	10,930
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	15,393
Arcadis U.S., Inc.	EXISTING FACILITIES, Tech Review & Program Staff	22,922
Argus Media Inc.	ENERGY ANALYSIS, Fuel price forecasting service	35,000
Armson Farms, Inc	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	90,846
Arnot Ogden Medical Center	EXISTING FACILITIES, EFP2482 - Arnot Health	378,275
Astrum Solar, Inc.	<200KW PV, NY Sun	5,280
	<200KW PV, NY-Sun	26,242
Atlantis Management Group II LLC	FUEL NY, GSP00322 - Atlantis Management	10,000
Audubon Properties LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	48,000
AWS Truepower	Off-Shore Wind Pre-Dev Act, RFP 3462	107,040
Babylon Varieties Inc.	FUEL NY, GSP00767 - Babylon Varieties I	10,000
Bartow Gas Corp.	FUEL NY, GSP00721 - Bartow Gas Corp.	10,000
BCDL Real Estate Development, LLC	NEW YORK ENERGY STAR HOMES, New Construction	124,500
Beck Farms LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	120,872
Bergmann Associates	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	14,870
	Flexible Tech Assistance, FlexTech Consultant Selection	87,075
	Industrial Process Effic, Technical Review and Program S	4,750
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	26,280
	RENEWABLE HEAT NY, Technical Review and Program S	2,600
Best Energy Power	<200KW PV, NY Sun	219,416
	<200KW PV, NY-Sun	10,633
Beth Israel Medical Center	EXISTING FACILITIES, EFP2175 - Beth Israel Medical	30,677
Bhatti Traders Inc.	FUEL NY, GSP00625 - Bhatti Traders Inc.	13,000
Bigwood Systems Inc	SMART GRID SYSTEMS, EPTD Smart Grid Program	223,362
BioDiversity Research Institute	Off-Shore Wind Pre-Dev Act, BRI: TWO umbrella agreement	29,830
Bloomberg, L.P.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,178,317
Bolla EM Realty LLC	FUEL NY, PGI00036 - Bolla EM Realty LLC	68,681
	FUEL NY, PGI00093 - Bolla EM Realty LLC	91,171
	FUEL NY, PGI00144 - Bolla EM Realty LLC	90,037
Bolla Operating Corp.	FUEL NY, GSP00252 - Bolla Operating Cor	10,000
	FUEL NY, PGI00037 - Bolla Operating Cor	101,384

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Bolla Operating Corp.	FUEL NY, PGI00038 - Bolla Operating Cor	77,249
	FUEL NY, PGI00041 - Bolla Operating Cor	67,864
	FUEL NY, PGI00083 - Bolla Operating Cor	86,040
	FUEL NY, PGI00095 - Bolla Operating Cor	97,222
	FUEL NY, PGI00096 - Bolla Operating Cor	119,790
Bolla Operating LI Corp.	FUEL NY, PGI00016 - Bolla Operating LI	74,172
	FUEL NY, PGI00030 - Bolla Operating LI	87,288
	FUEL NY, PGI00033 - Bolla Operating LI	89,703
	FUEL NY, PGI00044 - Bolla Operating LI	75,774
	FUEL NY, PGI00045 - Bolla Operating LI	72,333
	FUEL NY, PGI00060 - Bolla Operating LI	79,193
	FUEL NY, PGI00084 - Bolla Operating LI	86,561
	FUEL NY, PGI00085 - Bolla Operating LI	71,660
	FUEL NY, PGI00143 - Bolla Operating LI	91,595
	FUEL NY, PGI00152 - Bolla Operating LI	76,440
Bond, Schoeneck & King, PLLC	CLEAN TRANSPORTATION, RFP 3300 Outside Counsel Servi	33,428
Borrego Solar Systems, Inc.	>200KW PV, commercial/industrial pv	2,190,879
	>200KW PV, NY Sun	5,630,505
	>200KW PV, NY-Sun	1,326,895
	>200KW PV, NY-Sun Assignee	1,326,895
	>200KW PV, Payment assignee	900,607
	>200KW PV, Payment assignee to DE	1,100,782
Brahama Group Inc	>200KW PV, Commercial/IndustrialPV	299,785
Brahma Hunt LLC	>200KW PV, NY Sun	742,371
Brattle Group Inc.	Off-Shore Wind Master Plan, Large Scales Renewables Techni	895,000
	REC:CES REC Pgm Non-Rec Exp, Large Scales Renewables Techni	42,000
Brevard Owners Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	285,600
Bright Power, Inc.	<200KW PV, NY-Sun	237,467
	Flexible Tech Assistance, FlexTech Consultant Selection	14,650
Broadwell Dairy	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	20,075
Bronx Park Phase III Preservation, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	430,300
Brookhaven National Lab	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Center for ..	264,550
	RENEWABLE HEAT NY, Next-Gen Test Method Devel	548,000
	RENEWABLES & DER INTEGRATION, Center for Emergent Superco..	250,000
Brooklyn LW Hotel Associates, L.P.	NEW CONSTRUCTION PROGRAM, NCP12285 - Hampton Inn Brookly	129,775
Brooklyn Renaissance Plaza, LLC	Flexible Tech Assistance, FlexTech Program - PON 1746	248,782
Brooklyn SolarWorks LLC	<200KW PV, NY Sun	8,820
	<200KW PV, NY-Sun	5,616
Brown Brothers Harriman & Co.	Commercial Real Estate Ten, BBH - 140 Bway - CRE Tenant	11,000
BSREP UA Parker LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	41,600
Buffalo Niagara Medical Campus, Inc.	CLEAN TRANSPORTATION, BNMC Smart Card Technology	162,600
Buffalo Niagara Solar 4 LLC	NY-SUN, PV System @ FedEx Trade Networ	609,634
Buffalo Renewables, Inc.	Small Wind, Wind Turbine Incentive	166,800
Buffalo Solar Solutions Inc	<200KW PV, NY Sun	56,934
	<200KW PV, NY-Sun	5,670
Building Media, Inc.	ADVANCED ENERGY CODES, Code Training Website H&M	56,000

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Building Media, Inc.	ADVANCED ENERGY CODES, NYS Energy Code Conference	36,953
Bull Consulting, Inc.	FUEL NY, GSP00325 - Bull Consulting, In	13,000
Buselli Plumbing & Heating	<200KW PV, NY Sun	16,000
C.J. Brown Energy, P.C.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	49,500
	Flexible Tech Assistance, FlexTech Consultant Selection	8,533
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	54,527
C.T. Male Associates Engineering,	Flexible Tech Assistance, FlexTech Consultant Selection	9,225
C&S Oil Corporation	FUEL NY, GSP00676 - C&S Oil Corporation	10,000
CABS Senior H.D.F.C., Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	133,200
CAMBA Housing Ventures, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	121,200
Canal Road Enterprises LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	61,750
Carahsoft Technology Corporation	EVALUATION, Performance Management	34,000
Carnegie Park Land Holding LLC	NEW CONSTRUCTION PROGRAM, NCP11467 - 92nd Street	160,997
Carsada Dairy	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	99,695
Catholic Charities Progress of People	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	54,900
CDH Energy Corporation	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	58,000
	COMBINED HEAT AND POWER, DG Integrated Data System	2,000,000
	EXISTING FACILITIES, Technical Review and Program S	3,430
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	39,850
Center Gas Corp.	FUEL NY, GSP00702 - Center Gas Corp	10,000
Centerstate Corporation for	CLEAN TRANSPORTATION, InnovationCap&BizDev*inactive	90,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Innovation..	1,200,000
Central Hudson Gas and Electric Corporat	SMART GRID SYSTEMS, Central Hudson Gas & Electric	967,800
Central New York Regional Planning and	COMMUNITY SOLAR, Central New York Solar	170,000
	OTHER PROGRAM AREA, Central New York Solar	222,500
	WORKFORCE DEVELOPMENT, Central New York Solar	222,500
CHA Consulting Inc.	COMBINED HEAT AND POWER, Technical Review and Program S	225,828
	Flexible Tech Assistance, FlexTech Consultant CHA	42,400
	Industrial Process Effic, Technical Review and Program S	8,300
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	54,700
	RENEWABLE HEAT NY, Technical Review and Program S	4,200
Chandler Reed, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ecosystem ..	49,000
Chelsea Farms, LLC	>200KW PV, NY-SUN C&I Assignee Payment	890,263
	>200KW PV, NY-Sun C&I Payment Assignee	890,263
Chloe Capital SPV Manager LLC	M-Corps, 2017 Chloe Capital Accelerator	8,000
CIR ELECTRICAL CONSTRUCTION CORP.	<200KW PV, NY Sun	70,668
	<200KW PV, NY-Sun	11,084
Citigroup Technology, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,440,556
Citizens Enterprises Corporation	>200KW PV, NY Sun	1,750,240
City of Buffalo	CLEANER GREENER COMMUNITIES, CGC30922 - City of Buffalo	125,000
City of Oswego	CLEANER GREENER COMMUNITIES, CGC40394 - Oswego Comple..	225,000
City of Rochester	CLEANER GREENER COMMUNITIES, CGC40988 - City of Rochester	56,250
	NEW CONSTRUCTION PROGRAM, NCP12764 - Public Market Expan	14,420
Clarkson Solar, LLC	NY-SUN, New York Sun Competitive PV Pr	1,662,210
Clarkson Univ., Research Div.	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	347,360
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Transforma..	100,000

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Clarkson University	ADVANCED BUILDINGS, Cement Free Binder Concrete	100,000
	NEW CONSTRUCTION PROGRAM, NCP14057 - Damon Hall - OFLT	220,000
	RENEWABLES & DER INTEGRATION, Surface-Textured High Voltage	200,000
Clearcell Power, Inc.	FUEL CELLS, RPS CST Fuel Cell Program	1,000,000
CLEAResult Consulting, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Program ..	1,252,966
	EMPOWER NY, Empower QA Services	1,172,523
	GJGNY REVOLVING LOAN FUND, GJGNY TIC	678,554
	Home Perf w Energy Star, Empower QA Services	704,955
	Home Perf w Energy Star, Program Implementation Service	2,928,607
	HOME PERFORMANCE WITH ENERGY STAR, Program Implementa..	2,943,388
ClearStak LLC	ADVANCED BUILDINGS, Modifications to ThermoControl	40,500
	RENEWABLE HEAT NY, Modifications to ThermoControl	49,190
Clinton Terrace L.P.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	90,000
Clough, Harbour & Associates, LLP	INDUSTRIAL PROCESS EFFICIENCY, EFP Task Work Order	15,600
	INDUSTRIAL PROCESS EFFICIENCY, Existing Facilities Tech Assis	15,900
CNY Solar, Inc.	<200KW PV, NY Sun	24,894
	<200KW PV, NY-Sun	21,552
Cobble Hill Super Service Inc.	FUEL NY, GSP00601 - Cobble Hill Super S	10,000
Code Green Solutions, Inc.	Commercial Real Estate Ten, CodeGreen - 1333 Broadway	5,000
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	100,653
Collegiate Builders	<200KW PV, NY Sun	5,160
Columbia University	CLEAN TRANSPORTATION, Devel Electrofuels Prototype	249,367
	Industrial Process Effic, Industrial Process Efficiency	68,612
Columbus Station LLC	FUEL NY, GSP00757 - Columbus Station LL	13,000
Communications Specialists, Inc.	<200KW PV, NY Sun	16,216
Community Environmental Center, Inc.	NEW CONSTRUCTION PROGRAM, NCP TA Contract - ST10135	35,845
Comverge Incorporated	ADVANCED BUILDINGS, EFP2238 - Comverge - 90 Broad	21,349
	ADVANCED BUILDINGS, Existing Facilities Program -	184,600
	EXISTING FACILITIES, EFP2238 - Comverge - 90 Broad	80,122
Concern for Independent Living, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	108,000
Conifer Lechase Construction	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	180,000
Continental Automated Buildings	Subscription/Data Access, Market Insights	11,700
Cooper Crouse-Hinds	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	348,347
Copiague Commons, LLC	NEW YORK ENERGY STAR HOMES, New Construction	136,000
Cornell Cooperative Ext. Dutchess County	CLEANER GREENER COMMUNITIES, CGC40518 - Cornell Coop Ext	233,000
Cornell Cooperative Extension - Tompkins	CLEANER GREENER COMMUNITIES, CGC30635 - Southern Tier Bu..	1,304,538
Cornell University	CLEAN TRANSPORTATION, Anion Exchange Regen. Fuel Cel	250,000
	ENVIRONMENTAL RESEARCH, Greenhouse Humidity Control	78,792
	OTHER PROGRAM AREA, 76West Building a Clean Energy	67,473
	OTHER PROGRAM AREA, 2018 EaC Sponsorship	30,000
Cornerstone Energy Services	Renewable Heat NY, Clean Heating & Cooling	23,000
	Renewable Heat NY, Cornerstone Energy Services	20,000
	Renewable Heat NY, RHNY PON 3010 Incentive - Holm	10,000
Costanzos Bakery	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	145,027
County of Oneida	NEW CONSTRUCTION PROGRAM, NCP12945-Oneida County Office	6,455
	NEW CONSTRUCTION PROGRAM, NCP12949 - MVCC Rome Camp..	57,025

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Crestview Manor ALP	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	36,100
Croton Energy Group, Inc.	<200KW PV, NY Sun	8,750
Croton Food Mart, Inc.	FUEL NY, GSP00621 - Croton Food Mart In	13,000
Crowne Plaza Times Square Manhattan	REV Connect, 2017 REV Connect '17 Conferenc	102,045
CTG:I LLC	OTHER PROGRAM AREA, CTG i3 subscription	8,500
CUCS Housing Development Fund Corp. III	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	129,600
Culver Company, LLC	POLICY DEVELOPMENT, 2017 NYS DPS Consumer Booklets	12,178
Cumberland Farms, Inc.	FUEL NY, GSP00394 - Cumberland Farms In	10,000
	FUEL NY, GSP00450 - Cumberland Farms In	10,000
	FUEL NY, GSP00458-004 - Cumberland Farm	10,000
	FUEL NY, GSP00460-003 - Cumberland Farm	10,000
Curran Renewable Energy, LLC	OTHER PROGRAM AREA, Pneumatic wood pellet delivery	125,000
Curry Properties LLC	NEW CONSTRUCTION PROGRAM, NCP10093 - Curry Toyota (Curr	68,946
Cutone & Company Consultants, LLC	ADVANCED BUILDINGS, EFP2460 - Cutone - 345 Hudson	75,322
	ADVANCED BUILDINGS, EFP/DMP2499 - Cutone; Fordham	69,600
	EXISTING FACILITIES, EFP2460 - Cutone - 345 Hudson	1,130,885
	EXISTING FACILITIES, EFP/DMP2499 - Cutone; Fordham	810,123
Cypress Creek Renewables LLC	>200KW PV, Commercial/Industrial PV	2,579,647
	>200KW PV, NY-Sun	1,109,185
	>200KW PV, NY-Sun C&I	1,331,022
	>200KW PV, NY-Sun CI	1,172,567
D.T.S. Amoco Corporation	FUEL NY, GSP00698 - D.T.S. Amoco Corpor	10,000
Dalton Farms LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	46,875
Darling Advertising Agency Inc.	NYSERDA ADMINISTRATION, Climate Alliance Logo PO	18,198
Dawes Solar, LLC	>200KW PV, NY Sun	654,947
Deer Hills Service, LLC	FUEL NY, PGI00118 - Deer Hills Service	58,648
Dejager Solar, LLC	>200KW PV, NY Sun	845,093
Delaware River Solar, LLC	>200KW PV, NY Sun	1,619,796
Dell, Inc.	NYSERDA ADMINISTRATION, Dell Desktops for Buffalo	12,842
	NYSERDA ADMINISTRATION, Dell Laptop/ Docking	13,796
Delta Food Mart Inc.	FUEL NY, GSP00762 - Delta Food Mart Inc	10,000
Dentons US LLP	Off-Shore Wind Pre-Dev Act, Green Bank Outside Legal Ser.	25,000
DePaul Properties, Inc.	NEW YORK ENERGY STAR HOMES, New Construction	126,000
Dick's Merchandising & Supply Chain, Inc	Commercial New Construc, NCP15047-Conklin Dist Ctr-OFLT	392,896
Direct Marketing Productions, Inc.	OTHER PROGRAM AREA, ARPA-E	6,000
Direct Packet Inc.	NYSERDA ADMINISTRATION, Cisco Video System Maintenance	10,355
	NYSERDA ADMINISTRATION, Firewall Endpoint Services	15,600
Distributed Sun, LLC	>200KW PV, NY Sun	1,563,493
DJ Acquisition Management	Industrial Process Effic, Industrial Process Efficiency	60,272
Dorado Preservation Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	236,250
Douglas R Jarvis	<200KW PV, NY Sun	5,513
Downstream Construction, LLC	<200KW PV, NY Sun	7,800
Dynamic Energy Solutions, LLC	>200KW PV, NY-Sun C&I	1,051,656
	NY-SUN, PV System @ Hamilton-Fulton Mo	452,808
E Source Companies LLC	Subscription/Data Access, Market Insights	15,000
Earth Environmental Group, LLC	Solar Thermal, Solar Thermal Incentives	10,000

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Earth Sensitive Solutions, LLC	Geothermal Incentive Program, GSHP Incentve	500,000
East End Marketing Corp.	FUEL NY, PGI00166 - East End Marketing	59,270
	FUEL NY, PGI00187 - East End Marketing	65,032
East Pembroke Fire District	NEW CONSTRUCTION PROGRAM, NCP11478 - East Pembroke Fire	6,136
Eastern Energy Systems Inc.	<200KW PV, NY Sun	8,978
EC Infosystems, Inc.	NYSERDA ADMINISTRATION, Electronic Data Outsourcing	190,650
Ecology and Environment Engineering, PC	Environmental Research, RFP 3462	0
	Off-Shore Wind Pre-Dev Act, RFP 3462	1,133,495
EcoMen Solar, LLC	<200KW PV, NY Sun	8,004
Ecovis, Inc.	<200KW PV, NY Sun	15,228
Efficiency Forward, Inc.	Prof & Expert Engagement, DLC 2017 Membership	25,000
El Puente	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	89,388
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	274,167
Elmira, City of	CLEANER GREENER COMMUNITIES, CGC39531 - City of Elmira	90,000
Elmwood Associates	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	158,400
Emacx Systems, Inc.	ADVANCED BUILDINGS, EFP2026 - Emacx Systems Inc -	111,011
	EXISTING FACILITIES, EFP2026 - Emacx Systems Inc -	704,404
EMCOR Services Betlem	Flexible Tech Assistance, FlexTech Consultant Selection	16,953
EME Consulting Engineering Group, LLC	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	17,500
	Commercial New Construc, EME - EMP	79,550
	EXISTING FACILITIES, Tech Review and Program Staff	18,510
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	60,093
	NEW CONSTRUCTION PROGRAM, Tech Review and Program Staff	42,350
Empire Housing and Development Corporati	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	48,100
Empire Solar Solutions LLC	<200KW PV, NY Sun	47,680
Empire State College	NEW CONSTRUCTION PROGRAM, NCP12183 - Regional Center Roc	38,120
Empower CES, LLC	<200KW PV, NY Sun	169,671
ENER-G Rudox Inc.	Combined Heat and Power, CHPA - Albany VA Medical Cente	1,042,210
Eneractive Solutions	Flexible Tech Assistance, FlexTech Consultant EnerActive	60,921
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant EnerActi..	137,564
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	418,196
Energetics, Incorporated	CLEAN TRANSPORTATION, Electric Vehicle Supply Equipm	1,170,000
Energy & Resource Solutions, Inc.	ADVANCED BUILDINGS, EFP Task Work Orders	16,517
	ADVANCED BUILDINGS, Technical Review and Program S	3,352
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	33,180
	EVALUATION, Impact Evaluation Contractor	22,921,454
	EXISTING FACILITIES, EFP Task Work Orders	58,641
	EXISTING FACILITIES, Technical Review and Program S	252,481
	Flexible Tech Assistance, FlexTech Consultant Selection	19,670
	Industrial Process Effic, Commercial & Industrial Outrea	487,478
	Industrial Process Effic, Technical Review and Program S	12,875
	INDUSTRIAL PROCESS EFFICIENCY, Commercial & Industrial Outrea	1,685,025
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	53,210
	NEW CONSTRUCTION PROGRAM, NCP TA Contract - ST10131	47,045
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	15,334
	On-Site Energy Manager, Commercial & Industrial Outrea	34,171

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Contractor	Contract Description	Total Contract Amount
Energy & Resource Solutions, Inc.	Rmve Barriers Dist Enrgy Storg, RFP 3407 Categories 2 & 3A	41,080
	Strategic Energy Manager, Commercial & Industrial Outrea	37,812
Energy and Environmental Economics Inc.	ENERGY ANALYSIS, REV Economic Framework	230,662
	ENERGY ANALYSIS, Tech Assist, REV Pool.	60,000
	OTHER PROGRAM AREA, REV Economic Framework	209,764
	Rmve Barriers Dist Enrgy Storg, Tech Assist, REV Pool.	30,000
Energy Spectrum Inc.	EXISTING FACILITIES, EFP2590- Energy Spectrum;USTA	190,483
ENrG, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Flexible roll..	351,942
EnterSolar LLC	NY-SUN, PV System @ Fairway Market	1,498,935
	NY-SUN, PV System @ Kinder Morgan Term	2,499,575
EQR-Flatlands, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	189,000
Erba, Inc.	FUEL NY, GSP00768 - Erba Inc.	13,000
Erdman Anthony & Associates, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	11,000
	Commercial New Construc, EAA - EMP	12,154
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	11,445
Eric Mower and Associates	COMBINED HEAT AND POWER, RFQL and RFP 1224	634,263
	EXISTING FACILITIES, RFQL and RFP 1224	4,020,382
	FLEXIBLE TECHNICAL ASSISTANCE, RFQL and RFP 1224	823,595
	INDUSTRIAL PROCESS EFFICIENCY, RFQL and RFP 1224	3,835,182
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, RFQL and ..	250,000
	NEW CONSTRUCTION PROGRAM, RFQL and RFP 1224	3,084,357
	OTHER PROGRAM AREA, RFQL and RFP 1224	19,167
ERP Operating Limited Partnership	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	343,000
Esplanade Gardens, Inc.	Flexible Tech Assistance, FlexTech Program - PON1746	8,900
Etsy, Inc.	NEW CONSTRUCTION PROGRAM, NCP13012 - Etsy	39,347
eV2g, LLC	CLEAN TRANSPORTATION, Building-and Grid-Interactive	368,266
Executive Information Systems, LLC	NYSERDA ADMINISTRATION, Purchase SAS Analytical Softwa	32,453
Extraterrestrial Materials Inc.	<200KW PV, NY Sun	6,844
EYP Architecture & Engineering, PC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	22,560
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	28,475
Federation of Multicultural Programs Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	109,358
Fieldbridge Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	1,120,300
Findlay Teller Housing Development Fund	COMBINED HEAT AND POWER, Findlay Plaza CHP Demo	440,500
Fingerlakes Renewables	<200KW PV, NY Sun	6,960
Firefly Energy Consulting, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, MF Financi..	15,350
First Columbia Property Services, LLC	NYSERDA ADMINISTRATION, Property Management Services	243,619
First Property LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	83,200
First West 21st Street LLC	NEW CONSTRUCTION PROGRAM, NCP10514 - Chelsea Green (Firs	79,735
Florenton River LLC	<200KW PV, NY Sun	62,294
Fordham Fulton Realty Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	268,650
Fordham Hill Owners Corp.	COMBINED HEAT AND POWER, FlexTech - PON1746	50,000
ForeFront Power, LLC	>200KW PV, NY Sun	459,736
Fourth Coast, Inc.	<200KW PV, NY Sun	87,206
	<200KW PV, NY-Sun	129,840
Frederick A Proven	<200KW PV, NY Sun	10,560
Freedom Solar Inc.	<200KW PV, NY Sun	73,068

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Contractor	Contract Description	Total Contract Amount
Freedom Solar Inc.	<200KW PV, NY-Sun	8,120
Friendly Star Fuel, Inc.	FUEL NY, GSP00024 - Friendly Star Fuel	13,000
Friends of the Gardenaerial Inc.	CLEANER GREENER COMMUNITIES, CGC40708 - Rochester EcoDi..	240,000
Fuller Road Management Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	98,039
Fusion Energy Services LLC	<200KW PV, NY Sun	8,568
G. W. Lisk Co. Inc.	Industrial Process Effic, Industrial Process Efficiency	42,801
G.W. Ehrhart, Inc.	Renewable Heat NY, G.W. Ehrhart - Loomis	20,963
	Renewable Heat NY, G.W. Ehrhart, Inc. - George	13,533
	Renewable Heat NY, G.W. Ehrhart, Inc. - Wheatley	16,000
	Renewable Heat NY, RHNY PON 3010 Incentive - Jack	20,611
	Renewable Heat NY, RHNY-PON3010 Incentive-Town of	36,453
Gas Technology Institute	ADVANCED BUILDINGS, Evaluation and Demonstration	282,019
Gaseteria Oil Corp.	FUEL NY, PGI00124 - Gaseteria Oil Corp.	92,802
	FUEL NY, PGI00125 - Gaseteria Oil Corp.	113,389
	FUEL NY, PGI00163 - Gaseteria Oil Corp.	102,233
	FUEL NY, PGI00222 - Gaseteria Oil Corp.	96,263
	FUEL NY, PGI00223 - Gaseteria Oil Corp.	92,071
	FUEL NY, PGI00227 - Gaseteria Oil Corp.	92,227
Gasoline Heaven at Commack Inc	FUEL NY, GSP00430 - Gasoline Heaven at	10,000
	FUEL NY, PGI00202 - Gasoline Heaven at	87,504
GCOM Software LLC	NYSERDA ADMINISTRATION, Marketing Cloud - Membership	21,714
Geatain Engineering PLLC	Flexible Tech Assistance, FlexTech Consultant Selection	9,000
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	32,500
General Electric International Inc	ENERGY ANALYSIS, MAPS Computer Simulation Licen	391,500
George E Denmark II	<200KW PV, NY Sun	68,658
Gladys K. Lewis Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	31,000
Global Energy Efficiency	EXISTING FACILITIES, EFP2494 - Global Energy Effic	313,810
	EXISTING FACILITIES, EFP2522 - Global Energy Effic	340,166
	EXISTING FACILITIES, EFP2556-Global Energy Efficien	370,093
Global Montello Group Corp.	FUEL NY, PGI00027 - Global Montello Gro	98,215
	FUEL NY, PGI00028 - Global Montello Gro	89,406
	FUEL NY, PGI00209 - Global Montello Gro	75,119
	FUEL NY, PGI00212 - Global Montello Gro	106,904
Gloversville Housing Authority	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	38,000
Go Solar/Green NY, LLC	<200KW PV, NY Sun	22,890
Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, Facebook-770 Broadway-CommTen	24,989
	FLEXIBLE TECHNICAL ASSISTANCE, Flexible Technical Assistance	271,216
Goya Foods, Inc.	>200KW PV, NY Sun	55,020
GPSDC New York Inc	Commercial New Construc, NCP15058 - Northeast Distribut	220,000
Grace Terrace LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	80,400
Great Brook Solar NRG, LLC	<200KW PV, NY Sun	7,808
Green Charge Networks	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	250,000
Green Hybrid Energy Solutions Inc.	<200KW PV, NY Sun	18,962
	<200KW PV, NY-Sun	40,013
	<200KW PV, RES-NewConst(no longer in use)	340,000
Green Light Energy Conservation	EXISTING FACILITIES, EFP2118 - Greenlight Energy Co	114,723

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Contractor	Contract Description	Total Contract Amount
Green Light New York, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Mktg Consultant for ME..	50,000
	Prof & Expert Engagement, 2018 BEE Watt Membership	50,000
Green Power Energy, LLC	REC:CES REC Contracts, 8th RPS Main Tier Solicitation	9,062,790
Green Power Solutions, Inc.	<200KW PV, NY Sun	8,873
Green Street Power Partners LLC	<200KW PV, NY Sun	1,090,758
	<200KW PV, NY-Sun	155,550
	>200KW PV, NY Sun	155,717
Green Water and Power NYC Electrical LLC	<200KW PV, NY Sun	5,214
Greencycle Management Inc.	EXISTING FACILITIES, EFP2471 - Greencycle Managemen	362,944
GreenLogic, LLC	<200KW PV, NY Sun	9,788
Greenskies Renewable Energy LLC	>200KW PV, NY Sun	116,398
Greentech Media Inc.	NY-SUN, Subscription - Greentech Media	25,000
	Subscription/Data Access, Grid Edge & Storage	55,000
GRID Alternatives Tri-State, Inc.	<200KW PV, NY Sun	5,494
Grid City Electric Corp	<200KW PV, NY Sun	21,276
	<200KW PV, NY-Sun	156,977
Group Solar USA	<200KW PV, NY Sun	5,016
Group-S LLC	EXISTING FACILITIES, Existing Facilities Program -	611,057
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	83,638
H & V Gas Inc	FUEL NY, GSP-00805 H&V Gas Inc (Mega Ga	10,000
H.O. 110 Inc.	FUEL NY, PGI00266 - H.O. 110 Inc.	82,950
H.P. Hood, LLC	COMBINED HEAT AND POWER, FlexTech Program - PON 1746	80,000
Halcyon, Inc.	<200KW PV, NY Sun	19,094
Hanna-Haddon Hall LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	87,400
Harbec Inc	INDUSTRIAL PROCESS EFFICIENCY, Existing Facilities - IPE 2	192,154
Hardinge Inc.	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON 1746	11,750
Harold Brian Underwood	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	5,625
Harris Park Preservation, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	131,100
Harvest Power, LLC	<200KW PV, NY Sun	25,710
	<200KW PV, NY-Sun	40,556
Hawaii Energy Connection	<200KW PV, NY Sun	5,830
Heathcote Auto Sales & Leasing Corp	FUEL NY, PGI00146 - Heathcote Auto Sal	46,203
Herald Towers LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	592,450
HEVO Inc.	CLEAN TRANSPORTATION, Advanced Transportation Tech	500,000
Hewes Service Station Inc.	FUEL NY, GSP00748 - Hewes Service Stat	10,000
High Peaks Solar	<200KW PV, NY-Sun	6,648
Highland Hospital	NEW CONSTRUCTION PROGRAM, NCP12837 - Highland Hospital T	58,955
Hillside Associates of Albany LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	350,400
Holland & Knight LLP	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	183,576
Hollingsworth & Vose Company	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech - PON1746	9,607
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	227,388
Honeywell International Inc.	EMPOWER NY, Program Implementation Service	12,162,953
	Home Perf w Energy Star, Program Implementation Service	3,191,128
Housing Visions Unlimited, Inc.	NEW YORK ENERGY STAR HOMES, New Construction	150,000
HPP NY I	NY-SUN, FedEx Phase 2	420,692
	NY-SUN, PV System @ Fed Ex 29-01 Borde	346,836

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Contractor	Contract Description	Total Contract Amount
Hudson River Trading	Industrial Process Effic, Industrial Process Efficiency	234,004
Hudson Solar	<200KW PV, NY Sun	61,589
	<200KW PV, NY-Sun	70,447
	>200KW PV, NY Sun	156,896
Hudson Valley Wind Energy, LLC	<200KW PV, NY Sun	5,328
Huttner Strategies	Anaerobic Digesters, Accel RE/AD Development	100,000
I-Square, LLC	CLEANER GREENER COMMUNITIES, CGC32476 - I-Square	1,926,500
ICF Resources, LLC	ADVANCED BUILDINGS, Flex Energy Tech Analysis 2	115,000
	EXISTING FACILITIES, Technical Review and Program S	12,464
	REC:CES REC System Dev Costs, Flex Energy Tech Analysis 2	18,000
IHI Trucking	FUEL NY, GSP00620 - IHI Trucking	13,000
Imperial Owners Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	59,800
Industrial Economics, Incorporated	ENERGY ANALYSIS, Flex Energy Tech Analysis 2	81,949
	EVALUATION, Flex Energy Tech Analysis 2	35,264
INF Associates LLC	Commercial Real Estate Ten, INF Associates-733 3rd Ave-CT	35,509
Infinity Solar Systems, LLC	<200KW PV, NY Sun	10,333
Innoventive Power, LLC	ADVANCED BUILDINGS, Existing Facilities Program -	51,172
	EXISTING FACILITIES, PON1219EE5	707,744
INSPIRE Environmental, LLC	Off-Shore Wind Pre-Dev Act, Offshore Wind Mstr Plan Study	966,000
Integral Building & Design, Inc.	ADVANCED BUILDINGS, RetroFitting for Resiliency	187,710
Intrepid Museum Foundation	Combined Heat and Power, 10.18.17 CHP Customer Event	13,900
Inverters Unlimited, Inc.	<200KW PV, NY Sun	9,426
Investors Circle	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Innovation..	100,000
IPPsolar Integration LLC	<200KW PV, NY Sun	42,386
Irving Tissue, Inc	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	158,733
Island House Tenants Corp.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	103,000
Ithaca College	ADVANCED BUILDINGS, Contractor-Led Social Marketin	100,000
	Flexible Tech Assistance, FlexTech Program - PON1746V3	15,833
J & D I Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	53,000
Jaihind Enterprises	FUEL NY, GSP00780 - Jaihind Enterprises	10,000
JAV Petroleum	FUEL NY, PGI00176 - JAV Petroleum	95,450
JCB Specialties, Inc.	POLICY DEVELOPMENT, 2017 NYS Fair Promotional Mate	48,261
Jeffrey Park LTD., III, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	394,400
Jenngail Corp.	FUEL NY, GSP00443 - Jenngail Corp.	13,000
Jensens Service Station Inc.	FUEL NY, GSP00442 - Jensen's Service St	13,000
Joan Raiselis	Low Rise New Construction, New Construction	5,500
John Siegenthaler	WORKFORCE DEVELOPMENT, RFP 3165 Hydronic System Desig	1,800
Johnson Controls Inc.	Flexible Tech Assistance, FlexTech Consultant Selection	30,328
Joseph Lyon	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	23,820
JPMorgan Chase Bank National Association	EXISTING FACILITIES, EFP2557 - JPMorgan Chase - Mul	2,551,454
Kallen & Lemelson Consulting Engineers,	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	8,590
Karpman Consulting, LLC	Commercial New Construc, Model Quality Assurance for NC	50,000
	NEW CONSTRUCTION PROGRAM, Model Quality Assurance for NC	299,974
	OTHER PROGRAM AREA, Model Quality Assurance for NC	240,172
Kasselmann Solar LLC	<200KW PV, NY Sun	150,004
	<200KW PV, NY-Sun	166,172

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Contractor	Contract Description	Total Contract Amount
KayDev Technology, LLC	NYSERDA ADMINISTRATION, TestComplete Pro	8,015
Kearns & West, Inc.	Off-Shore Wind Pre-Dev Act, OWE Interagency Meeting support	20,235
Kelleher Samets Volk	ENERGY ANALYSIS, Marketing Support for NYSERDA	136,000
Kendal at Ithaca	NEW CONSTRUCTION PROGRAM, NCP11900 - Kendal Ithaca	20,467
Kent Avenue Property 3, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	458,100
Kevin J Creamer	<200KW PV, NY Sun	36,346
Kilowatt Engineering, Inc.	EXISTING FACILITIES, Technical Review and Program S	17,026
	Industrial Process Effic, Technical Review and Program S	9,350
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	23,212
Kilowatt Financial, LLC	<200KW PV, NY Sun	5,376
Kings Capital Holdings, LLC	NEW CONSTRUCTION PROGRAM, NCP13059 - Kings Office Buildi	16,501
Kingsborough Apartments, LP	RENEWABLE THERMAL, Clean Heating & Cooling	58,969
Kingsview Homes, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	116,250
Kirchhoff Green Energy, LLC	<200KW PV, NY Sun	10,000
	<200KW PV, NY-Sun	6,624
Knollcrest Apartment Associate, L.P.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	90,000
Kraft Foods Global	FLEXIBLE TECHNICAL ASSISTANCE, Flex Tech - PON1746	143,820
Kushal Petro Inc.	FUEL NY, GSP00270 - Kushal Petro Inc.	10,000
L&S Energy Services, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	76,985
	EXISTING FACILITIES, .	106,095
	EXISTING FACILITIES, Technical Review and Program S	28,179
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	29,507
	GJGNY REVOLVING LOAN FUND, Technical Review and Program S	9,539
	Industrial Process Effic, Technical Review and Program S	3,000
	INDUSTRIAL PROCESS EFFICIENCY, .	40,059
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services.	7,725
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	11,433
	RENEWABLE HEAT NY, Technical Review and Program S	5,030
LaBella Associates, P.C.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	15,000
	EXISTING FACILITIES, Technical Review and Program S	7,697
	Flexible Tech Assistance, Novus PO Assignment	2,144
	NEW CONSTRUCTION PROGRAM, New Construction	8,909
	REV Campus Challenge, Novus PO Assignment	21,469
Lampman Hill Solar LLC	>200KW PV, NY Sun	876,870
Lansing Central School District	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON 7146	6,057
Lebrini Service Station Corp.	FUEL NY, GSP00493 - Lebrini Service Sta	10,000
Leon Petroleum	FUEL NY, PGI00029 - Leon Petroleum	93,284
Leslie J Jardine	WEST VALLEY DEVELOPMENT PROGRAM, NFS Records Review	15,000
Level Solar Inc.	<200KW PV, NY-Sun	6,840
Lifetime Housing Development Corp.	Low Rise New Construction, New Construction	54,600
Lincoln Life & Annuity Company of NY	NYSERDA ADMINISTRATION, Long Term Disability Premium	73,022
Lono LLC	Geothermal Incentive Program, Large-Scale GSHP Rebate	24,000
Lotus Energy, Inc.	<200KW PV, NY Sun	34,583
	<200KW PV, NY-Sun	54,442
Low-Level Radioactive Waste Forum, Inc.	NYSERDA ADMINISTRATION, Data & Markets	5,000
Lowe's Home Centers Inc	Commercial New Construc, NCP15006 - Lowe's of Yonkers	48,369

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Contractor	Contract Description	Total Contract Amount
Lukoil North America LLC	FUEL NY, GSP00490-005 - LUKOIL North Am	10,000
Lumsden & McCormick, LLP	REC:CES REC System Dev Costs, Consulting Services	5,750
Luthin Associates, Inc.	EXISTING FACILITIES, C&I Buildings Outreach	7,648,501
	REV Campus Challenge, C&I Buildings Outreach	187,760
Lydall Performance Materials	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	315,155
Lynns Place Housing Development Fund Com	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	82,800
Lyonsdale Biomass, LLC	LARGE SCALE RENEWABLES, RPS Maintenance Tier Incentive	13,185,482
M. Arthur Gensler Jr. & Associates Inc.	MARKET PATHWAYS, CRETP - Gensler - 1700 Broadwa	140,000
M/E Engineering, P.C.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	Commercial Imp Assist, Technical Review and Program S	4,435
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	162,165
	NEW CONSTRUCTION PROGRAM, M/E - EMP	40,663
Malcolm Pirnie, Inc.	EXISTING FACILITIES, EFP Task Work Orders	16,552
	EXISTING FACILITIES, Existing Facilities Tech Assis	12,803
Marina Towers Associates, LP	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	1,198,400
Maspeth Auto Care	FUEL NY, GSP00617 - Maspeth Auto Care	10,000
Matthew Brennan	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	30,218
Max Solar Inc	<200KW PV, NY Sun	8,750
MCA SERVICE CORP	FUEL NY, GSP00685 - MCA Service Corp.	13,000
Mechanical Solutions, Inc.	ADVANCED BUILDINGS, Super Charger for Cold Climate	350,000
Meister Consultants Group, Inc.	Soft Cost Challenge, Soft Cost Chellange_Consultant	49,000
Memorial Hospital for Cancer & Allied Di	NEW CONSTRUCTION PROGRAM, NCP10642 - Ambulatory Surgery	320,258
METRO NY DEALER STATIONS, LLC	FUEL NY, GSP00147-002 - Metro NY Dealer	10,000
MicroGen Systems, Inc.	CLEAN TRANSPORTATION, Self powered TPMS	454,700
Mill Road Service Station Inc.	FUEL NY, GSP00597 - Mill Road Service S	13,000
Mill Street Housing, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	50,400
Milton P. Enstine & Sons, Inc.	FUEL NY, PGI00110 - Milton P. Enstine &	15,280
Modern Energy Technology	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	21,610
Moishe Taub	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	80,500
Monolith Solar Associates, LLC	<200KW PV, NY Sun	141,598
	<200KW PV, NY-Sun	10,160,221
	<200KW PV, RES-NewConst(no longer in use)	2,711,231
Montefiore Medical Center	COMBINED HEAT AND POWER, CHP Performance Program	2,400,000
Morgan Cos Management LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	272,000
Mosholu Petro Realty LLC	FUEL NY, PGI00068 - Mosholu Petro Real	95,452
Motor Parkway Enterprises Inc.	FUEL NY, GSP00498 - Motor Parkway Enter	10,000
Mount Sinai Medical Center	ADVANCED BUILDINGS, EFP2394 - Mount Sinai Medical	44,206
	EXISTING FACILITIES, EFP2394 - Mount Sinai Medical	1,200,000
	EXISTING FACILITIES, PON1219EE5	128,473
Mount Vernon Energy Services Inc.	FUEL NY, GSP00589 - Mount Vernon Energy	10,000
MS Fuel Inc.	FUEL NY, GSP00742 - MS Fuel Inc.	10,000
N&B Gas Corp.	FUEL NY, GSP00716 - N&B Gas Corp.	10,000
Nalge Nunc International Corp.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	12,655
National Economic Research	ENERGY ANALYSIS, Tech Assist, REV Pool	50,000
	OTHER PROGRAM AREA, Tech Assist, REV Pool	50,000
National Oilheat Research Alliance	ADVANCED BUILDINGS, Heating and Cooling	295,000

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Contractor	Contract Description	Total Contract Amount
NationalGrid Energy Management, LLC	<200KW PV, NY Sun	15,015
	NY-SUN, New York Sun Competitive PV Pr	400,665
NECEC Institute	OTHER PROGRAM AREA, Consumer Serv & Events Managem	45,000
Neptune Group LLC	NEW CONSTRUCTION PROGRAM, NCP12146 - Neptune Realty	60,649
NESCAUM	ENVIRONMENTAL RESEARCH, Environmental Research	184,000
	ENVIRONMENTAL RESEARCH, Wood & Oil Boiler Emissions	33,220
	OTHER PROGRAM AREA, Tech Assist, REV Pool	66,284
NESEA	Commercial Real Estate Ten, 2017 sponsorship BuildingNYC	4,083
	Multifam Performance Pgm, 2017 sponsorship BuildingNYC	7,833
	Real Time Enrgy Management, 2017 sponsorship BuildingNYC	4,084
New Buildings Institute, Inc.	Prof & Expert Engagement, 2016 Sponsorship of NBI	25,000
New England Energy, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	58,042
New York Power Authority	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSERDA-NY..	89,538
New York Power Authority,	SMART GRID SYSTEMS, City of NY, Brooklyn, NY Prize	100,000
New York State Department of State	ADVANCED ENERGY CODES, Travel Expenses NYS DOS	40,000
New York State Forum for IRM	NYSERDA ADMINISTRATION, NYS Forum Membership 17 - 18	5,500
New York State Solar Farm Inc.	<200KW PV, NY Sun	30,710
New York University	ADVANCED BUILDINGS, EFP1567 - New York University	184,600
	EXISTING FACILITIES, EFP/DMP2299 - NYU	1,344,164
Newcastle Home Construction	Low Rise New Construction, New Construction	5,000
Nexamp Inc.	>200KW PV, NY Sun	568,104
Nexant, Incorporated	ADVANCED BUILDINGS, Technical Review and Program S	2,929
	EXISTING FACILITIES, Technical Review and Program S	66,735
	Industrial Process Effic, Technical Review and Program S	15,915
nrastructure	NYSERDA ADMINISTRATION, SMARTnet - Maintenance - 2020	42,423
Nickels Energy Solutions LLC	<200KW PV, NY Sun	16,662
Nite Homes HDFC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	10,350
NJP Consulting Inc.	<200KW PV, NY Sun	15,050
	<200KW PV, NY-Sun	5,480
Nor-Pike Service Station Inc.	FUEL NY, PGI00282 - Nor-Pike Service St	85,400
Noresco LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	18,085
Normandy Owners Corporation	Flexible Tech Assistance, FT11529 - Orsid Realty - Norma	25,000
North Park Nursing Home	EXISTING FACILITIES, PON1219 - EFP2362 - Edna Tina	32,268
North Riverdale Merchant and Business As	CLEANER GREENER COMMUNITIES, CGC39588 - Riverdale	100,000
North Shore Long Island Jewish Health Ce	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	161,057
Northeast Agriculture Technology Corp	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	22,500
Northeast Energy Efficiency Partnerships	Code to Zero, NEEP 2017 Membership	10,000
	Community RH&C, NEEP 2017 Membership	2,528
	EVALUATION, ASHP Market Research	50,000
	NextGen HVAC, NEEP 2017 Membership	10,000
	Prof & Expert Engagement, NEEP 2017 Membership	7,022
	Strategic Energy Manager, NEEP 2017 Membership	1,124
	Underutilized Products, NEEP 2017 Membership	17,090
NorthWrite Inc.	Real Time Enrgy Management, Jim Diamond -42 Memorial- RTEM	15,726
Norwood-Norfolk Central School District	NEW CONSTRUCTION PROGRAM, NCP12920 - Norwood Norfolk C..	50,666
Novel Approaches Solar Applications, LLC	<200KW PV, NY Sun	26,500

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Contractor	Contract Description	Total Contract Amount
Novorocs Technologies LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	693,110
Novus Engineering, P.C.	Commercial New Construc, Novus-Energy Modeling Partner	10,401
NYC & Lower Hudson Valley Clean Communit	CLEAN TRANSPORTATION, Electric Vehicle Supply Equipm	200,000
NYC Department of Environmental Protect	FLEXIBLE TECHNICAL ASSISTANCE, NYC Mayoral Challenge	161,500
	MULTIFAMILY PERFORMANCE PROGRAM, NYC Mayoral Challenge	161,500
NYC Partnership Housing Dev. Fund Co.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	96,000
NYCHA	NY Green Bank, NYCHA	11,000,000
NYS Dept of Corrections &	NEW CONSTRUCTION PROGRAM, NCP13104 - Upstate Training Bu	8,371
NYS Education Department	ENVIRONMENTAL RESEARCH, Assess. of Marcellus Gas	50,000
NYS Office of General Services	SARATOGA TECHNOLOGY & ENERGY PARK, STEP	26,964
NYS Office of Parks, Recreation and	<200KW PV, NY Sun	25,520
	<200KW PV, NY-Sun	51,255
NYU Langone Hospitals	NEW CONSTRUCTION PROGRAM, NCP9244 - The Energy Building	128,962
O'Connell Electric Company	<200KW PV, NY Sun	24,716
OK Petroleum Distribution Corp	FUEL NY, PGI00089 - OK Petroleum Distri	82,959
	FUEL NY, PGI00092 - OK Petroleum Distri	87,365
	FUEL NY, PGI00159 - OK Petroleum Distri	89,852
OLA Consulting Engineers, P.C.	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	93,863
	NEW CONSTRUCTION PROGRAM, NCP TA Services - OLA 20136	103,388
OLEDWorks LLC	ADVANCED BUILDINGS, OLED Panel and Luminiare	549,263
Omni-Navitas - MAP-ES NY LLC	>200KW PV, NY Sun	2,070,304
Omniafiltra	Industrial Process Effic, Industrial Process Efficiency	46,954
OneEnergy Development LLC	>200KW PV, NY Sun	3,995,663
	>200KW PV, NY-Sun C&I	427,574
OnForce Solar	<200KW PV, NY Sun	132,785
	NY-SUN, RPS CST Regional Program	392,960
Oppenheim Solar South, LLC	>200KW PV, NY-Sun C&I	73,631
Optimized Thermal Systems Inc.	ADVANCED BUILDINGS, Energy Storage for Cooling	76,421
Oracle America, Inc.	NYSERDA ADMINISTRATION, Oracle Peoplesoft 2017 - 2018	53,598
ORE F4 ProjectCo, LLC	<200KW PV, NY Sun	6,098
OwnBackup Inc.	NYSERDA ADMINISTRATION, Salesforce Backup Solution	18,630
P & A Reckess	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	43,700
P&T Murphy Service Inc.	FUEL NY, GSP00707 - P&T Murphy Services	13,000
Paradise Energy Solutions, LLC	<200KW PV, NY Sun	187,225
	<200KW PV, NY-Sun	27,235
Park Monroe II Rehab HDFC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	128,550
PARS Auto Service Center Inc.	FUEL NY, GSP00494 - PARS Auto Service C	10,000
Partners in Community Development	HOME PERFORMANCE WITH ENERGY STAR, Single Family Reside..	560,482
Pathfinder Engineers & Architects, LLP	Commercial New Construc, Pathfinder - EMP	9,020
	Flexible Tech Assistance, FlexTech Consultant Selection	17,024
	NEW CONSTRUCTION PROGRAM, Pathfinder - EMP	9,104
Pathstone Corporation	CLEANER GREENER COMMUNITIES, Green Jobs Green New York	128,331
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York	517,809
PathStone Development Corporation	NEW YORK ENERGY STAR HOMES, New Construction	83,500
PatterSun NY LLC	NY-SUN, PV System at Patterson Landfil	845,892
PCH Energy, LLC	NY-SUN, PV System @ President Containe	811,382

Contracts Completed

Period 10/1/2017 through 3/31/2018

Contractor	Contract Description	Total Contract Amount
PCMG, Inc.	NYSERDA ADMINISTRATION, Antivirus Replacement, Symatec	7,852
People Community Housing Development Cor	NEW YORK ENERGY STAR HOMES, New Construction	77,000
Peter Reynolds	Low Rise New Construction, New Construction	5,000
Petrogas Group US Inc.	FUEL NY, PGI00235 - Petrogas Group US	70,000
	FUEL NY, PGI00237 - Petrogas Group US I	97,500
PitchBook Data, Inc.	OTHER PROGRAM AREA, PitchBook Database Subscriptio	21,000
Pitney Bowes, Inc.	NYSERDA ADMINISTRATION, Facilities Management	65,783
PlugPV, LLC	<200KW PV, NY Sun	6,000
	<200KW PV, NY-Sun	9,573
PMG Northeast LLC	FUEL NY, PGI00018 - PMG Northeast LLC	75,260
	FUEL NY, PGI00019 - PMG Northeast LLC	75,609
	FUEL NY, PGI00080 - PMG Northeast LLC	81,975
	FUEL NY, PGI00081 - PMG Northeast LLC	60,153
	FUEL NY, PGI00120 - PMG Northeast LLC	78,375
	FUEL NY, PGI00130 - PMG Northeast LLC	70,963
	FUEL NY, PGI00137 - PMG Northeast LLC	116,374
	FUEL NY, PGI00173 - PMG Northeast LLC	79,921
	FUEL NY, PGI00178 - PMG Northeast LLC	71,492
	FUEL NY, PGI00179 - PMG Northeast LLC	69,352
	FUEL NY, PGI00192 - PMG Northeast LLC	82,751
	FUEL NY, PGI00200 - PMG Northeast LLC	74,533
	FUEL NY, PGI00264 - PMG Northeast LLC	83,707
	FUEL NY, PGI00266 - PMG Northeast LLC	84,234
Point Sunko Corporation	FUEL NY, GSP00500 - Point Sunko Corp	10,000
Powder Mill Land Co., LLC	Commercial Imp Assist, CIAP004 - Powder Mill Land Co.	34,818
	Commercial Imp Assist, CIAP005 - Powder Mill Land Co.	26,999
Praxis Housing Initiatives, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	79,200
Prima Terra Properties LLC	NEW CONSTRUCTION PROGRAM, NCP14035 - Hampton Inn & Suite	44,787
PRIME Coalition Inc.	OTHER PROGRAM AREA, Climate Impact Assessment Tool	49,000
Pro Custom Solar LLC	<200KW PV, NY Sun	6,832
Promenade Global LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	365,700
Promesa Housing Development Fund Corp	GREEN AFFORDABLE HOUSING, Multifamily	45,017
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	264,536
Quixotic Systems, Inc.	<200KW PV, NY-Sun	40,163
QwikSolar, LLC	<200KW PV, NY Sun	51,081
	<200KW PV, NY-Sun	16,841
R & B Qualtiy Electric, Inc.	<200KW PV, NY Sun	10,150
Radiator Labs Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	245,088
Rafferty Enterprises, Inc.	NYSERDA ADMINISTRATION, Temp Employee Services	108,659
Randstad North America, Inc.	>200KW PV, Temp Services Contract.	39,744
	ENERGY ANALYSIS, Temp Services	66,447
	ENERGY ANALYSIS, Temporary Services	29,260
	EVALUATION, Temp Services	247,000
	NEW YORK GREEN BANK, Green Bank	50,000
	NEW YORK GREEN BANK, Temp Services	73,500
	NEW YORK GREEN BANK, Temporary Services	692,527

Contracts Completed
Period 10/1/2017 through 3/31/2018

Contractor	Contract Description	Total Contract Amount
Randstad North America, Inc.	NY-SUN, Temp Services	137,777
	NY-SUN, Temp Services Contract.	47,483
	NY-SUN, Temporary Services	214,303
	NYSERDA ADMINISTRATION, Renewable Optimz Energy Storge	16,000
	NYSERDA ADMINISTRATION, Temp Services	483,066
	NYSERDA ADMINISTRATION, Temp Services Contract.	461,614
	NYSERDA ADMINISTRATION, Temporary Services	848,226
Real Goods Energy Tech, Inc	<200KW PV, NY Sun	22,544
Red Hook Solar Corp	<200KW PV, NY Sun	129,988
Regional Economic Models, Inc	ENERGY ANALYSIS, Modeling and Analytics	6,000
Regional Greenhouse Gas Initiative, Inc.	ENERGY ANALYSIS, 2018 RGGI Funding Agreement	930,605
Reliance Petro Products Inc.	FUEL NY, GSP00472 - Reliance Petro Prod	13,000
Renovus Energy, Inc.	<200KW PV, NY Sun	151,728
	<200KW PV, NY-Sun	12,416
	>200KW PV, NY-Sun C&I	254,875
Rensselaer Polytechnic Institute	ADVANCED BUILDINGS, ASSIST Membership	50,000
	ADVANCED BUILDINGS, Luminescent solar concentrator	100,000
	CLEAN TRANSPORTATION, Modular Aerial Robots	75,000
Rensselaer Polytechnic Institute-LRC	ADVANCED BUILDINGS, Facilitating OLEDs in NYS	210,000
Research Foundation of CUNY	CLEAN TRANSPORTATION, HPTM Waterborne Transport	112,656
	CLEAN TRANSPORTATION, Social media as incident mgmt	111,756
Research Foundation of SUNY	CLEAN TRANSPORTATION, Clean Energy Business Incubato	1,500,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Clean Ener..	1,200,000
	NEW CONSTRUCTION PROGRAM, NCP11296 - Zero Energy Nano	192,366
Research Into Action, Inc.	Energy Storage Tech/Prod Dev, Research Into Action TWO	48,181
	REVitalize, Research Into Action TWO	27,826
	Rmve Barriers Dist Enrgy Storg, Research Into Action TWO	136,716
Restaurant Associates, LLC	Combined Heat and Power, Catering Svs. for CHP Event	8,575
Rigidized Metals Corporation	ADVANCED BUILDINGS, Green and Energy-Efficient Bui	60,000
Riseboro Community Partnership, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	14,000
Rm Bronx Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	86,000
RNY Solar LLC	ENVIRONMENTAL RESEARCH, Solar Photobioreactor Illumina	115,000
Robert A. Kanauer Jr.	<200KW PV, NY-Sun	28,835
Robert Derector Associates	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	43,650
	MARKET PATHWAYS, CRETP - Robert Derector Associ	60,000
Robert O Gurman	SMART GRID SYSTEMS, NY Prize Stage 3 Advisement	49,500
Rochester Institute of Technology	CLEAN TRANSPORTATION, InnovationCap&BizDev*inactive	1,500,000
	CLEAN TRANSPORTATION, PON 2301, RD 2: MYFLEETDEPT.co	72,608
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Innovation..	1,200,000
	NEW CONSTRUCTION PROGRAM, NCP11297 - Polisseni Center	242,551
	NEW CONSTRUCTION PROGRAM, NCP14064 - Global Village - Ph	20,583
Rocky Mountain Institute	TBD, Digital Solutions Research	50,000
Roger TenPas	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	25,311
Rosen Group Properties	EXISTING FACILITIES, EFP2481-Rosen Group Properties	65,600
Rural Ulster Preservation Company	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	94,625
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	1,077,722

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Rutgers University	ENVIRONMENTAL RESEARCH, InnovationCap&BizDev*inactive	350,000
S&F Petro Inc.	FUEL NY, GSP00725 - S&F Petro Inc.	13,000
SAF NY Realty Co., LLC	Industrial Process Effic, Industrial Process Efficiency	140,041
Safari Energy LLC	<200KW PV, NY-Sun	62,500
	>200KW PV, Commercial/IndustrialPV	2,381,066
	>200KW PV, NY-Sun	595,266
	NY-SUN, New York Sun Competitive PV Pr	435,511
	NY-SUN, RPS CST Regional Program	218,544
SAKS Incorporated	EXISTING FACILITIES, EFP2110 - Saks 5th Avenue	288,000
Sam Fanelli Inc.	FUEL NY, GSP00701 - Sam Fanelli Inc.	13,000
Scott Shipley	<200KW PV, NY Sun	5,124
Sea Bright Solar, LLC	<200KW PV, NY Sun	8,844
Seed Renewables Inc.	<200KW PV, NY-Sun	13,580
Selfhelp Community Services, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	98,165
Sentar Fuel Co	FUEL NY, PGI00258 - Sentar Fuel Inc.	81,200
Services for the UnderServed - Mental He	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	160,800
Shamir Ent LLC	FUEL NY, PGI00264 - Shamir Ent LLC	69,400
Sherman Terrace Cooperative Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	46,200
SHI, Inc.	NYSERDA ADMINISTRATION, ADA-Compliance Subscription	15,544
	NYSERDA ADMINISTRATION, Embarcadero ER Studio Licenses	14,162
	NYSERDA ADMINISTRATION, Embarcadero Renewal 2018-2019	13,971
ShopRite Supermarkets, Inc.	EXISTING FACILITIES, EFP2485- Shoprite Supermarkets	130,600
Shurepower, LLC	CLEAN TRANSPORTATION, Advanced Transportation Techno	180,325
Shutterstock, Inc.	NYSERDA ADMINISTRATION, WebDAM photo libray subscrip	8,581
Silver Lining Solar	<200KW PV, NY Sun	62,072
Silver Spring Solar LLC	>200KW PV, NY Sun	611,982
Sive Paget & Riesel PC	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 & RFP 3776 ..	8,856
Sixty-Six Washington Street, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	149,600
Smith Engineering PLLC	Flexible Tech Assistance, FlexTech Consultant Selection	27,390
Snow Belt Housing Company, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	22,800
Snow Economics, Inc.	Industrial Process Effic, Industrial Process Efficiency	28,488
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	149,431
Solaire Generation Inc.	<200KW PV, NY-Sun	91,556
Solar Alchemy, Inc.	<200KW PV, NY Sun	5,280
Solar and Wind FX, Inc. (Chris Schaefer)	<200KW PV, NY Sun	10,000
Solar Energy Systems, LLC	<200KW PV, NY Sun	17,080
	<200KW PV, NY-Sun	58,313
Solar Generation, Inc.	<200KW PV, NY Sun	24,052
	<200KW PV, NY-Sun	8,640
Solar Home NJ	<200KW PV, NY Sun	5,504
Solar Liberty Energy Systems, Inc	<200KW PV, NY Sun	79,682
	<200KW PV, NY-Sun	33,022
	>200KW PV, Commercial/Industrial PV	1,711,216
	>200KW PV, NY-Sun C&I	125,588
Solar Maximum LLC	<200KW PV, NY Sun	25,137
Solar One, Inc.	<200KW PV, NY Sun	8,190

Contracts Completed
Period 10/1/2017 through 3/31/2018

Contractor	Contract Description	Total Contract Amount
Solar One, Inc.	<200KW PV, NY-Sun	5,700
Solar Power Company, LLC	NY-SUN, PV System @ PearlGreen	296,825
SolarCity Corporation	<200KW PV, NY Sun	114,483
	<200KW PV, NY-Sun	132,308
	>200KW PV, Commercial/Industrial PV	2,451,985
	>200KW PV, Commercial/IndustrialPV	1,691,604
	>200KW PV, NY Sun	4,894,996
	>200KW PV, NY-Sun	310,807
	>200KW PV, NY-Sun C&I	140,262
	MARKET PATHWAYS, PV System @ Oswego County - Ha	50,000
	NY Green Bank, Solarcity - Construction Facility	20,000,000
	NY-SUN, Commercial/Industrial	1,058,289
	NY-SUN, PV System @ City of Glens Fall	1,376,393
	NY-SUN, PV System @ Herkimer County	671,540
	NY-SUN, PV System @ Herkimer County Co	671,540
	NY-SUN, PV System @ Oswego County - Ha	662,398
	NY-SUN, PV System @ Plattsburgh Airpor	1,449,246
	NY-SUN, PV System @ Washington County	1,280,551
Sound Geothermal Corporation	Geothermal Incentive Program, GEO Inspector Training	17,085
Soundview Apartments Associates, LP	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	175,500
South Columbus Realty LLC	FUEL NY, GSP00310 - South Columbus Real	10,000
South Valleystream Inc	FUEL NY, GSP00723 - South Valleystream	13,000
Southern Tier Central Regional Planning	CLEANER GREENER COMMUNITIES, CGC28019 - STCRPBD	239,776
SRM Fuel Corp	FUEL NY, PGI00071 - SRM Fuel Corp.	89,365
St. Ann's Community	Commercial Imp Assist, CIAP003 - St. Ann's Community	64,000
St. Joseph Preservation	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	75,900
Stantec Consulting Services, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	18,466
	NEW CONSTRUCTION PROGRAM, Stantec-Energy Modeling Partne	13,830
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	32,044
	Off-Shore Wind Pre-Dev Act, RFP 3462	169,400
Star 260 Realty LLC	FUEL NY, PGI00232 - Star 260 Realty LLC	70,000
Steven Winter Associates, Inc.	ADVANCED BUILDINGS, Scale Up Deep Energy Retrofits	56,197
	Commercial New Construc, SWA - EMP	17,086
	Flexible Tech Assistance, FlexTech Consultant Selection	7,500
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	639,575
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	23,857
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	23,287
Suffolk Solar Systems, Inc.	<200KW PV, NY-Sun	5,380
SUN 8 PDC LLC	NY Green Bank, Distributed Sun - SUN8	1,000,000
Sun Source Technologies	<200KW PV, NY Sun	108,986
	<200KW PV, NY-Sun	17,100
sun8 PDC LLC	>200KW PV, NY Sun	33,630,706
SuNation Solar Systems, Inc.	<200KW PV, NY Sun	63,240
	<200KW PV, NY-Sun	183,345
SunEdison Governmental Solutions, LLC	NY-SUN, Commercial/Industrial PV Progr	1,981,931
SunEdison Origination3, LLC	NY-SUN, RPS CST Regional Program	802,007

Contracts Completed
Period 10/1/2017 through 3/31/2018

Contractor	Contract Description	Total Contract Amount
Sunnova Energy Corp	<200KW PV, NY Sun	15,456
SunPower Capital, LLC	<200KW PV, NY Sun	307,376
	<200KW PV, NY-Sun	13,158
SunRay Power LLC	NY-SUN, RPS CST Regional Program	96,160
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY-Sun	72,686
Sunrise Solar Solutions, LLC	<200KW PV, NY Sun	104,298
	<200KW PV, NY-Sun	63,634
SunRun, Inc	<200KW PV, NY Sun	70,925
	<200KW PV, NY-Sun	6,600
Sunset LG Realty LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON 1746	47,304
SUNY Canton	WORKFORCE DEVELOPMENT, Solar Ready Vets Program	299,972
SUNY Oneonta	NEW CONSTRUCTION PROGRAM, NCP12787 - Oneonta Auxiliary S	27,799
SUNY Oswego	NEW CONSTRUCTION PROGRAM, NCP12241 - SUNY Oswego Tyle..	63,465
SUNY Upstate Medical University	NEW CONSTRUCTION PROGRAM, NCP12003 - SUNY Upstate Cor..	18,492
Sustainable Energy Advantage, LLC	ENERGY ANALYSIS, Large Scales Renewables Techni	16,350
	Off-Shore Wind Pre-Dev Act, Large Scales Renewables Techni	120,113
	OTHER PROGRAM AREA, Large Scales Renewables Techni	99,902
	REC:CES REC Pgm Non-Rec Exp, Large Scales Renewables Techni	78,000
Sustainable Energy Developments Inc.	<200KW PV, NY Sun	130,325
	Small Wind, Wind Turbine Incentive	7,539
Sustainable Hudson Valley, Inc.	CLEAN TRANSPORTATION, Pilot community EV marketing	47,000
Sweet Gas Inc.	FUEL NY, GSP00710 - Sweet Gas Inc.	10,000
Sylvania Lighting Services Corp	EXISTING FACILITIES, EFP2629 - Sylvania Lighting	15,461
Syracuse University	ENVIRONMENTAL RESEARCH, Acid Deposition and Mercury Re	249,997
SYSCO Food Services, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	111,101
Syska Hennessy Group	Flexible Tech Assistance, FlexTech Consultant Selection	29,000
Systems Management Planning, Inc.	NYSERDA ADMINISTRATION, VMWare AirWatch - 2018-2019	6,315
Taconic Renewable Energy Solutions Inc.	<200KW PV, NY Sun	6,254
Taitem Engineering, P.C.	<200KW PV, NY Sun	55,611
	<200KW PV, NY-Sun	98,132
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	43,494
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	214,946
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	28,968
	Industrial Process Effic, Technical Review and Program S	6,606
	NEW YORK ENERGY STAR HOMES, Technical Review and Program..	46,656
Tech Valley Talent, LLC	NYSERDA ADMINISTRATION, SecureAuth - 2018 Renewal	14,754
	NYSERDA ADMINISTRATION, Staff Augmentation	263,500
TecMarket Works	EVALUATION, Performance Management	1,625,000
	EVALUATION, Policy Development	1,000,000
The Albany Damien Center	NEW YORK ENERGY STAR HOMES, New Construction	51,000
The American Institute of Architects	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

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
The American Institute of Architects	Rmve Barriers Dist Enrgy Storg, AIA Conference on Architecture	1,186
The Cadmus Group, Inc.	<200KW PV, Quality Assurance Services for	512,881
	>200KW PV, Quality Assurance Services for	0
	COMMUNITY SOLAR, Quality Assurance Services for	11,872
	EVALUATION, Quality Assurance Services for	192,989
	NY-SUN, Quality Assurance Services for	4,257,135
	RENEWABLE THERMAL, Quality Assurance Services for	341,980
	Solar Thermal, Quality Assurance Services for	0
The Century Association	EXISTING FACILITIES, EFP2321-The Century Associates	28,497
The Coalition for Green Capital	CLEAN TRANSPORTATION, State PEV fleet purchases	75,000
The Columbia Condominium	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	210,700
The Community Builders, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	67,000
The Danza Leser Group	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program PON1746	70,960
The Krog Corporation	NEW YORK ENERGY STAR HOMES, New Construction	77,000
The Macchia Group Inc.	FUEL NY, GSP00797 - The Macchia Group I	10,000
	FUEL NY, GSP00803 - The Macchia Group I	10,000
	FUEL NY, GSP00804 - The Macchia Group I	10,000
The Masters School	NEW CONSTRUCTION PROGRAM, NCP10544 - Community Arts	107,724
The New York Times Company	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	605,973
The Radiant Store	Renewable Heat NY, Clean Heating & Cooling	12,500
	Renewable Heat NY, RHNY PON 3010 Incentive - Empi	10,625
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Kopa	10,000
	RENEWABLE HEAT NY, RHNY PON 3010 Incentive - Sura	10,000
	Renewable Heat NY, The Radiant Store - Biosclair	10,000
	Renewable Heat NY, The Radiant Store - Incentive	7,500
	Renewable Heat NY, The Radiant Store - Tesla	5,000
	Solar Thermal, Solar Thermal Incentives	6,000
The Renewables Consulting Group, LLC	Off-Shore Wind Pre-Dev Act, RFP 3462	31,998
The Research Foundation for the State	ENVIRONMENTAL RESEARCH, Low Moisture Wood Chip	149,998
The Vertex Companies, Inc.	ADVANCED BUILDINGS, LIPA tracer gas technology	99,723
Theron Jay Egg, Jr.	Geothermal Incentive Program, GSHP Training Series 2017	25,600
Thomas DiCicco	FUEL NY, GSP00465 - Walson Automotive R	13,000
Three Tasks Inc.	FUEL NY, GSP00437 - Three Tasks Inc.	10,000
Tiffany & Co	EXISTING FACILITIES, EFP/DMP2300 - Tiffany's & Co	758,535
Time Warner Cable Enterprises, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	4,300,367
TM Montante Solar Developments, LLC	<200KW PV, RES-NewConst(no longer in use)	809,356
Town of Batavia	CLEANER GREENER COMMUNITIES, CGC31078 - Town of Batavia	175,000
Town of Ithaca	CLEANER GREENER COMMUNITIES, CGC30040 - Town of Ithaca	70,000
Town of Springwater	CLEANER GREENER COMMUNITIES, CGC29614 - Town of Springw..	50,000
Trane	EXISTING FACILITIES, EFP1944 - Trane; Wayne County	191,799
TRC Energy Services	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	5,000
	EXISTING FACILITIES, Technical Review and Program S	102,163
	Flexible Tech Assistance, Technical Review and Program S	58,505
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	876,947
	Industrial Process Effic, Technical Review and Program S	3,165
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	9,340

Contracts Completed
Period 10/1/2017 through 3/31/2018

Contractor	Contract Description	Total Contract Amount
TRC Energy Services	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	12,385
Triangle Electrical Systems, Inc.	<200KW PV, NY Sun	8,496
	<200KW PV, NY-Sun	6,230
TriCarb Consortium for Carbon Sequestrat	ENERGY ANALYSIS, InnovationCap&BizDev*inactive	1,000,000
	RENEWABLES & DER INTEGRATION, Environmental Research	49,000
Trinity Heating & Air, Inc.	<200KW PV, NY Sun	56,910
	<200KW PV, NY-Sun	13,236
Trinity West Harlem Phase One Limited Pa	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	63,000
Trump World Tower Condominium	COMBINED HEAT AND POWER, FlexTech Program - PON1746	16,524
Trust for Conservation Innovation	ADVANCED ENERGY CODES, Energy Code Support Services	250,637
U.S. Geological Survey (Troy).	ENVIRONMENTAL RESEARCH, Acid Deposition and Mercury	65,789
U.S. Green Building Council, NY Chapter	NextGen HVAC, Manufacturing Barriers for Ene	50,000
UGE USA Inc.	>200KW PV, NY Sun	468,293
Ulysses Solar LLC	NY-SUN, PV System at Cornell	1,760,497
United Talmudical Academy	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program	5,000
United Wind MM LLC	NY Green Bank, United Wind	4,000,000
United Wind Project I, LLC	Small Wind, Wind Turbine Incentive	77,051
University of Rochester	Industrial Process Effic, Industrial Process Efficiency	76,699
	NEW CONSTRUCTION PROGRAM, NCP12410 - Institute for Data	16,933
Upstate Alternative Energy	<200KW PV, NY-Sun	7,840
Upstate Venture Connect	OTHER PROGRAM AREA, Startup Community Development	48,000
US Energy Concierge Inc	<200KW PV, NY Sun	19,657
	<200KW PV, NY-Sun	6,960
USGS National Center MS270	ENVIRONMENTAL RESEARCH, Catskills Streams Trends	38,122
USTA National Tennis Center, Inc.	NEW CONSTRUCTION PROGRAM, NCP12369 - USTA National Tenni	71,994
V&R Energy Systems Research, Inc.	SMART GRID SYSTEMS, Advanced State Estimation	500,000
Vanguard Energy Partners, LLC	<200KW PV, NY-Sun	354,460
Vanguard Printing LLC	Industrial Process Effic, Industrial Process Efficiency	12,264
Venture Home Solar LLC	<200KW PV, NY Sun	16,057
Verizon NY Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	757,956
Vermont Energy Investment Corporation	Industrial Process Effic, Technical Review and Program S	29,777
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	12,081
Vidaris, Inc.	Commercial New Construc, Vidaris - EMP	74,635
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	129,291
	NEW CONSTRUCTION PROGRAM, New Construction	13,293
Viking Solar, Inc.	Solar Thermal, Solar Thermal Incentives	20,000
Village of Frankfort Electric Departmen	SMART GRID SYSTEMS, Village of Frankfort NY Prize	100,000
Viola Homes Inc.	<200KW PV, NY Sun	28,728
Viridian Energy & Environmental, LLC	NEW CONSTRUCTION PROGRAM, High Perf New Bldg(not in use)	94,770
	NEW CONSTRUCTION PROGRAM, Single Family Residential	9,999
Vivint Solar	<200KW PV, NY Sun	85,844
	<200KW PV, NY-Sun	5,039
Voltaic Solaire LLC	<200KW PV, NY Sun	5,616
W & E Phillips Locksmith, Inc	NYSERDA ADMINISTRATION, Facilities Management	6,430
Wal-Mart Stores East, LP	NEW CONSTRUCTION PROGRAM, NCP11690 - Walmart Store #1744	120,717
	NEW CONSTRUCTION PROGRAM, NCP12735 - WalMart Colonie #19	146,988

Contracts Completed
Period 10/1/2017 through 3/31/2018

Contractor	Contract Description	Total Contract Amount
Wal-Mart Stores East, LP	NEW CONSTRUCTION PROGRAM, NCP13098 - Walmart Cheektow..	177,352
Watchtower Bible &	NEW CONSTRUCTION PROGRAM, NCP10430 - Residence C - OFLT	81,791
Waterfront NY Realty Corp	EXISTING FACILITIES, EFP2401 - Waterfront New York	246,586
Webster Community Coalition for Economic	CLEANER GREENER COMMUNITIES, CGC38562 - Webster Cold W..	87,000
Wellwood Gas Inc	FUEL NY, GSP00694 - Wellwood Gas Inc	10,000
Wendel Energy Services, LLC	EXISTING FACILITIES, Technical Review and Program S	33,640
Wesco Distribution	<200KW PV, NY-Sun	744,943
	<200KW PV, RES-NewConst(no longer in use)	913,010
West Nyack Solar	NY-SUN, PV System @ Town of Clarkstown	2,169,159
Westchester County	SMART GRID SYSTEMS, Town of Valhalla NY Prize	100,000
Whole Foods Market Group, Inc.	EXISTING FACILITIES, EFP2232 - Whole Foods Market -	540,952
Willdan Energy Solutions	ADVANCED BUILDINGS, C&I Outreach	7,500
	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	COMBINED HEAT AND POWER, C&I Outreach	15,612
	Commercial Real Estate Ten, C&I Outreach	273,000
	EXISTING FACILITIES, C&I Outreach	9,106,770
	EXISTING FACILITIES, Technical Review and Program S	5,056
	Flexible Tech Assistance, FlexTech Consultant Selection	82,050
	Industrial Process Effic, C&I Outreach	320,967
	INDUSTRIAL PROCESS EFFICIENCY, C&I Outreach	2,119,321
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	265,167
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	147,247
	On-Site Energy Manager, C&I Outreach	14,295
	Strategic Energy Manager, C&I Outreach	15,818
Willowbrooke FP LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	152,000
Wireless Sensor Solutions	CLEAN TRANSPORTATION, Self powered TPMS	239,047
Women's Housing & Econ. Development Corp	COMBINED HEAT AND POWER, 75kW CHP at Urban Horizons	275,050
WSP Flack & Kurtz, Inc.	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	45,520
WSP USA Corp.	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	8,000
	NEW CONSTRUCTION PROGRAM, Technical Assistance NCP	49,159
Xerox Corp	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	166,826
	NYSERDA ADMINISTRATION, Facilities Management	1,461
Xzerta Energy Group LLC	>200KW PV, NY Sun	8,799,737
	>200KW PV, NY-Sun	3,631,418
Yale Robbins Publications, LLC	Combined Heat and Power, 2018 Spring Cooperator Expo	15,000
YEP LLC	FUEL NY, GSP00040 - YEP LLC (Getty)	13,000
Yonkers Gasoline Inc	FUEL NY, GSP00813 - Yonkers Gasoline In	10,000
York Town Solar Development, LLC	NY-SUN, PV System @	472,357
You Save Green Incorporated	<200KW PV, NY Sun	31,848
	<200KW PV, NY-Sun	37,512
	>200KW PV, NY Sun	3,913,935
Zabin Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	33,000
Zero Carbon Corporation	<200KW PV, NY Sun	61,310
Grand Total		420,922,592