

Business Energy Pro
A Pay-for-Performance (P4P) Initiative
Con Edison Commercial Pilot
Request for Proposals (RFP)

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Introduction

Con Edison and the New York State Energy Research and Development Authority (NYSERDA) are collaborating to administer this Pay for Performance (P4P) Pilot.¹ Definitions of key pilot terms are provided in Attachment D – Glossary.²

Under this first P4P Pilot, “Business Energy Pro,” Con Edison and NYSERDA are jointly soliciting proposals to select Portfolio Manager(s) to provide energy efficiency services to small and medium-sized businesses in Staten Island and Westchester County, with a special emphasis on providing innovative solutions that target aggressive natural gas reductions in Westchester County. Specifically, this Pilot has a target of installing Projects that result in 24,000 MMBtus of annual natural gas reductions in Westchester County. In addition, this Pilot has a target of installing Projects that result in approximately 14,000 MWh of annual electric reductions in both Staten Island and Westchester County. Approximately \$10 million is available for awards under this RFP.³

One (1) to three (3) Portfolio Manager(s) are anticipated to be selected to contract with Con Edison to provide services over a five-year period. This Pilot is specifically designed to support Portfolio Manager(s) in delivering innovative, cost-effective, and measure agnostic solutions that benefit Participating Customers, create customer value, and deliver savings beyond those traditionally achieved.

P4P Overview

P4P initiatives are emerging nationally as a market-based approach to delivering and paying for energy efficiency solutions. Supported by policy reforms, utility commitment to Advanced Metering Infrastructure (AMI), and growth in sophisticated data analytics, the P4P model shifts the focus away from individual measure savings estimates to whole building metered savings. Payment is restructured to align with realized energy savings.

For New York, it is anticipated that the P4P Pilot will create a framework for scaling participation in outcome-based energy efficiency initiatives by:

- Enabling Portfolio Managers to implement innovative and flexible business models that provide customer value and attract private sector investment.
- Leveraging a standardized, transparent, and credible methodology for calculating energy efficiency savings to:
 - ✓ Support a measure-agnostic approach that accommodates diverse energy efficiency improvements, such as equipment upgrades, building retrofits, and behavioral, operational, and retro-commissioning activities;
 - ✓ Manage risk by monetizing energy efficiency performance benefits at the Portfolio level;
 - ✓ Allow utilities to value energy efficiency as a distributed energy resource;
 - ✓ Allow Portfolio Managers and project financiers to predict Portfolio performance and assign a transparent value to units of reduction in energy consumption;
 - ✓ Minimize administrative, transactional, and other soft costs for NYSERDA, utilities, and Portfolio Managers; and

¹ See NYSERDA Clean Energy Fund plan at <https://www.nyserdera.ny.gov/-/media/Files/About/Clean-Energy-Fund/CEF-Multi-Sector-Solutions-chapter.pdf>

² Defined terms are capitalized throughout this RFP and its attachments.

³ NYSERDA and Con Edison reserve the right to allocate additional funding and/or to extend the Implementation and/or Performance Period identified herein. Stated goals are in terms of first year savings achieved by projects installed during the Implementation Period.

- ✓ Provide longer-term cash flows to Portfolio Managers to support persistent energy savings.

The P4P Pilot is designed to test an alternative incentive approach that emphasizes energy savings performance at the utility meter and the persistence of energy savings over time. Under the P4P Pilot, a single upfront flat payment, as used in traditional energy efficiency rebate programs, is replaced with regularly occurring payments for normalized meter-based energy savings over a defined period. Portfolio Managers can establish relationships to re-engage with their Participating Customers to increase the likelihood of continued savings and additional Interventions (efficiency projects), opening new and exciting options for testing different approaches and business models. This P4P Pilot should also:

1. Help small and medium businesses reduce their operating costs, while improving equipment reliability and productivity; and
2. Facilitate small and medium businesses' access to performance-based financing mechanisms typically reserved for large commercial, industrial, and institutional customers.

Lessons learned from this initial implementation of P4P will be used as an input to improve and scale the Pilot and further encourage innovative, new business models that can achieve larger-scale savings, attract additional investment, and encourage energy efficiency across a broader range of New York State utility customers.

Solicitation Schedule

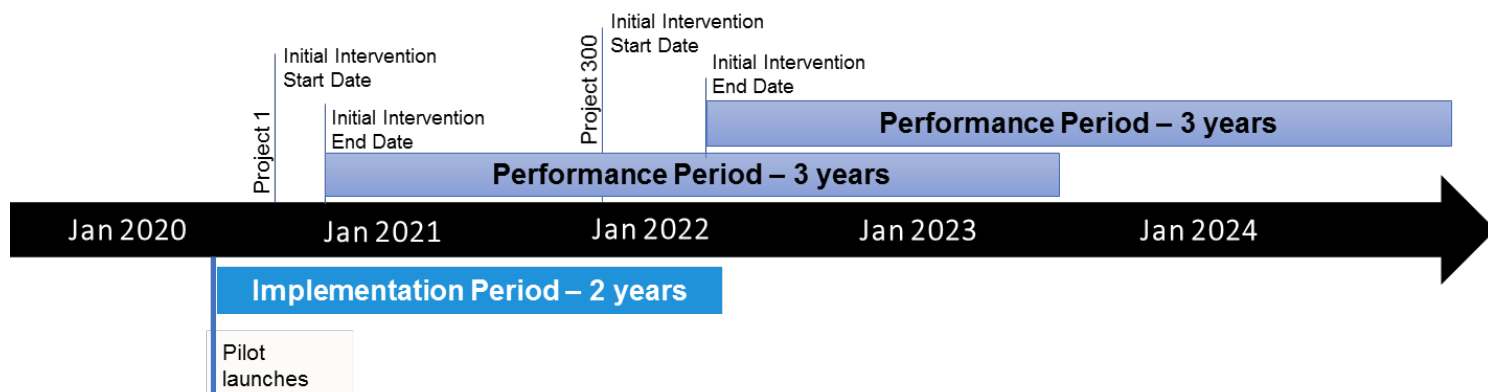
Milestone	Date
Intent to Propose due	8/19/19
Clarification questions due	8/19/19
RFP webinar with FAQs	8/29/19
FAQ answers posted online	8/29/19
Proposals due	11/25/19
Anticipated contract execution	April 2020

Implementation and Performance Period

Selected Portfolio Manager(s) will be awarded a five-year contract with Con Edison, comprising of a two-year Implementation Period during which Portfolio Manager(s) can enroll Customers and implement Interventions at Customer sites, and three years for the completion of Project Performance Periods during which payments will be made for delivered energy savings. Each Project will have its own Performance Period (see the below chart for an example) and Projects in the Performance Period will contribute to payments for the Portfolio.

For each Project, a baseline will be established using the Customer's energy consumption data for the year prior to the Initial Intervention Start Date (to be provided by the Portfolio Manager). The Initial Intervention End Date (also to be provided by the Portfolio Manager) indicates when the first Intervention is implemented at a Customer site and triggers the start of the three-year Performance Period for that Project. Portfolio Manager(s) can re-intervene and make additional improvements with Participating

Customers at any time during the Performance Period to achieve greater savings, but payments will not be made beyond three years for any given Project.



Eligible Customers

The pilot primarily targets small & medium commercial Customers in Con Edison’s territories of Staten Island and Westchester County. This geography will have approximately 40,000 eligible electric Customers within the timeframe of the Pilot, of which approximately 15,000 have gas service in Westchester. Portfolio Manager(s) will be compensated for meter-based electric savings in Staten Island and meter-based electric and natural gas savings in Westchester⁴. While Portfolio Manager(s) may offer additional energy services (e.g. natural gas efficiency in Staten Island), only savings from Con Edison meters will be calculated and eligible for payment through this Pilot.

Con Edison will provide contracted Portfolio Manager(s) with a list of eligible Customers defined by the following criteria:

- Categorized by the following service classes and customer types:
 - PSC electric service classes⁵ 2 and 9:
 - Small and medium businesses
 - Multifamily common spaces in buildings with 2-4 residential units
 - PSC electric service class 1:
 - Religious institutions
- Pays into the Systems Benefit Charge fund
- Active accounts with AMI installed and actively used for billing
- Minimum 13-months of available billing data
- Average annual electric peak demand of less than 300 kW
- Not participating in Con Edison’s AMI Rate Pilot⁶

⁴ The Participating Customer’s impacted utility meters will be associated with an Account ID, a Site ID, and a Project ID to define the savings associated with each customer and project. At a site with multiple meters, the meters associated with the impacted space will be associated with the appropriate project (e.g. a project might include several meters at the same site, or multiple projects might occur at a single site and have different meters associated with them). No meter can be associated with more than one project.

⁵ <https://www.coned.com/external/cerates/documents/elecPSC10/electric-tariff.pdf>

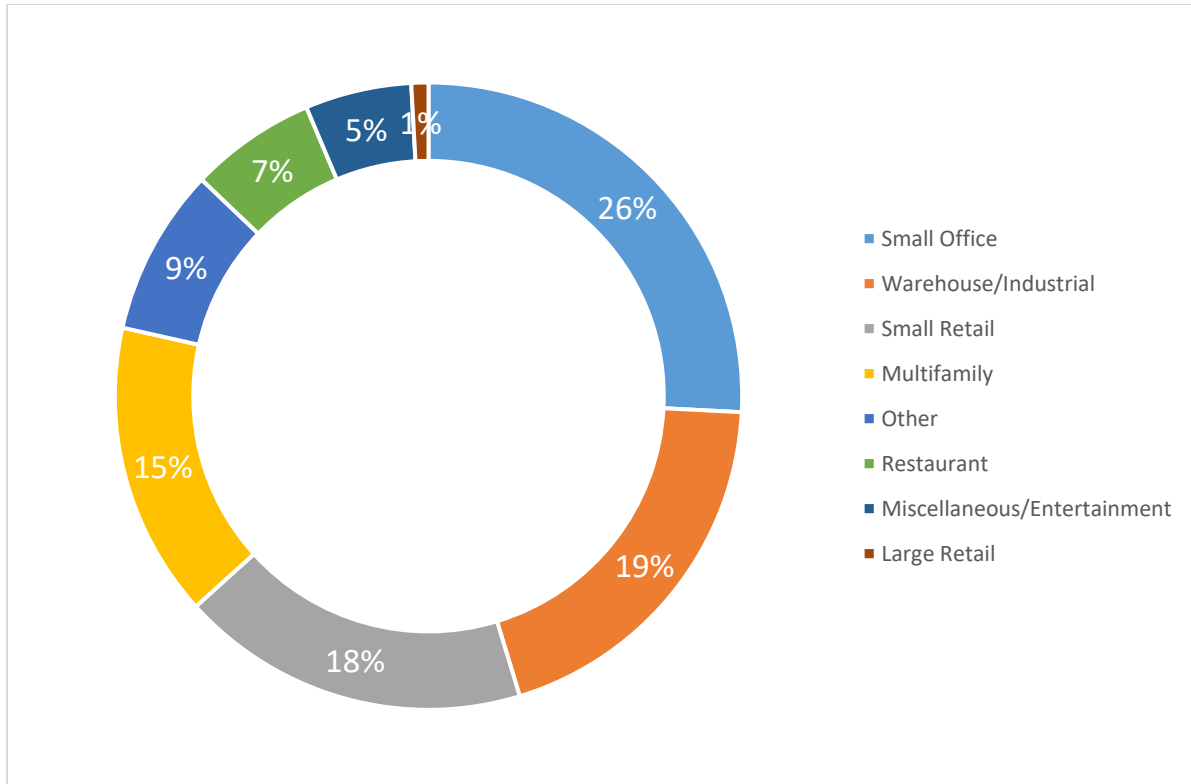
⁶ The Innovative Pricing Pilot – known publicly as the Smart Energy Plan – is a three-year rate pilot designed to test seven time-variant, demand-based delivery rates for approximately 78,000 residential and 14,500 small-commercial customers in Staten Island, Westchester County, and Brooklyn. Customers will be enrolled on both an opt-in and opt-out (default) basis to evaluate customer acceptance, satisfaction, behavioral changes and bill impacts across the different rates and enrollment approaches.

- Certain affiliated Top 500 Con Edison Customer Accounts excluded⁷

Contracted Portfolio Manager(s) are expected to work from the eligible customer list provided by Con Edison. Portfolio Manager(s) will contact Con Edison for verification of customer sites that do not appear to meet the above criteria (e.g. non-expected customer use types such as single-family residential, multi-family accounts for buildings with >5 units, etc.) prior to moving forward with projects.

The graphic below illustrates the current industry characterization of the estimated eligible customer pool by percentage of total accounts:

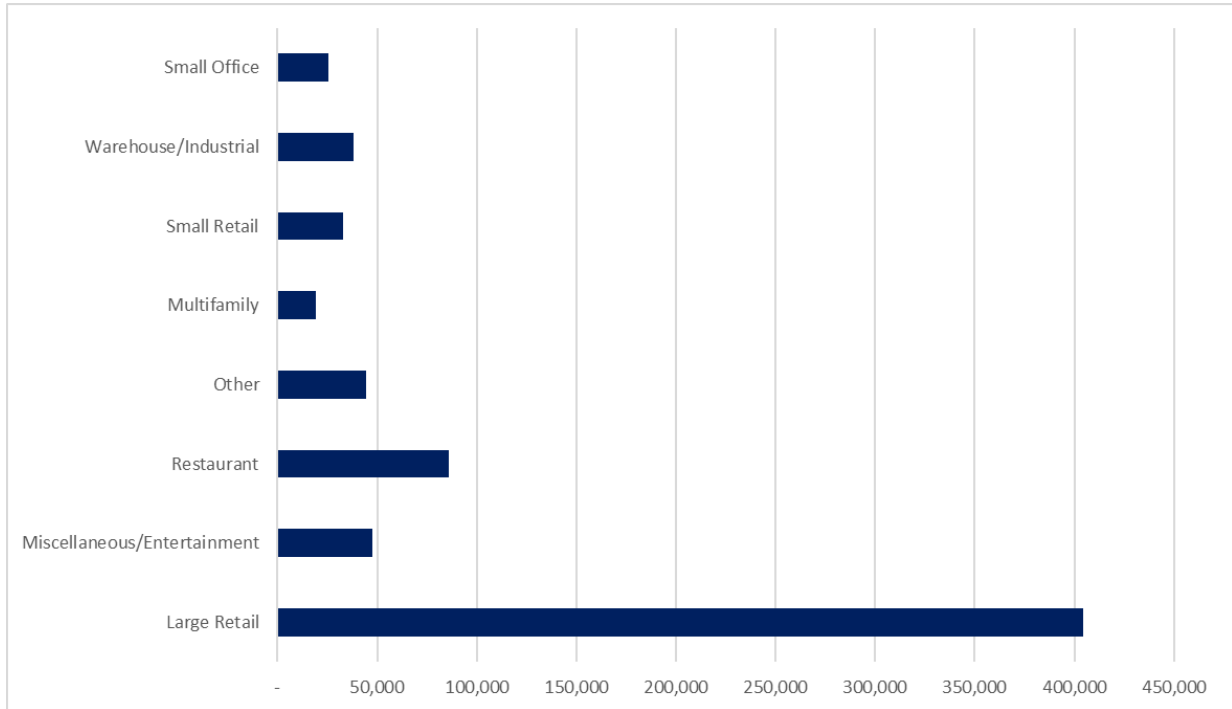
BEP Customer Segments Composition (total eligible population)



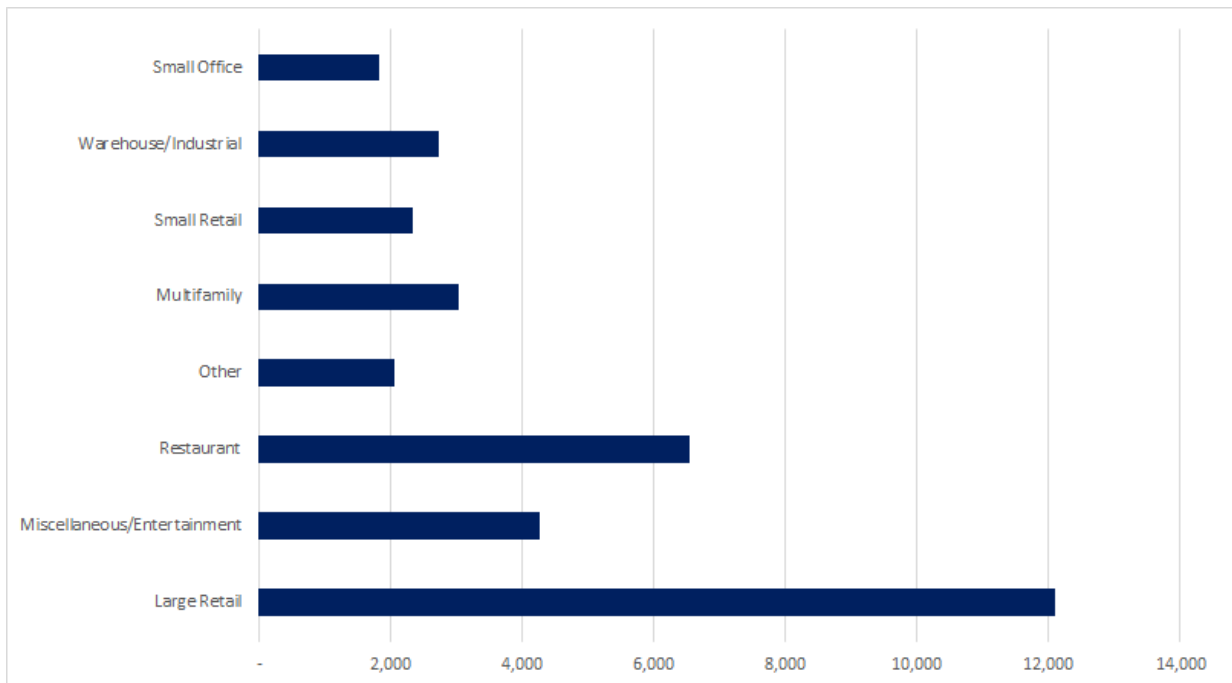
“Other” includes but is not limited to the following building types: Community, Education, Government, Hospitals, Large Office, and Transportation etc.

⁷ Top 500 Accounts are the largest 500 Commercial and Industrial (C&I) Customers by Annualized Electricity Consumption.

The chart below illustrates the average annual electric consumption in kWh per Customer Account of the segments referenced above:



The chart below illustrates the average annual natural gas consumption in therms per Customer Account of segments referenced above:



Con Edison will provide a list of eligible P4P Pilot Customers to awarded Portfolio Manager(s) at the start of their contract and on a monthly basis thereafter to assist with Customer acquisition. These Customers

will not be targeted for Con Edison's Commercial Direct Install Program. The customer list, screened for the requirements above, may include but not be limited to the following data fields:

- Customer name
- Masked Account ID (MAID)
- Service address (town, boroughs, zip)
- Customer Segment and NAICS code (when available)
- Turn-on Date
- Total annual electric consumption (kWh)
- Total annual natural gas consumption (therms, Westchester Customers only)
- Peak to shoulder consumption ratio (electric and natural gas)
- Percent of consumption used for baseload, heating, and cooling (electric and natural gas)
- Average billed demand (kW)
- Phone number (if available)
- Email (if available)
- Customer baseline model type and heating and cooling coefficients
- Customer baseline model uncertainty, R^2 , and CVRMSE⁸

Participating Customers and Portfolio Manager(s) may NOT receive funding for the same services or measures from other NYSERDA or Con Edison Energy Efficiency Programs, except for the following:

- Connected Device Pilot
- Commercial System Relief Program (CSR)
- Demand Response Pilot Gas
- Direct Load Control (DLC)
- Distribution Load Relief Program (DLRP)
- Smart AC Program
- Demand Management Program (DMP)
- Real Time Energy Management (RTEM)
- NYSERDA or Con Edison incentives for heat pump technologies

Customer Offer

The P4P Pilot is measure-agnostic to provide the opportunity for flexibility and innovation to accomplish deep energy savings with multi-year revenue streams and high customer satisfaction. All payments provided through this Pilot will flow to the Portfolio Manager(s) and it is the Portfolio Manager(s)' responsibility to determine how to incentivize Customers to adopt their offer/solution (e.g. with special financing, free services, discounted pricing, etc.). This structure is intended to maximize Portfolio Manager flexibility; however, the following rules apply:

- Proposals and respective Project Interventions must go beyond a single measure. Note: lighting and lighting controls will be counted as a single measure.
- Portfolio Manager(s) may source from distributors participating in Con Edison midstream and upstream incentive programs. If so, the distributor may not claim savings. A list of participating distributors in Con Edison are listed [here](#).

⁸ CV(RMSE): Coefficient of the Variation of the Root Mean Square Error.

- Proposals may include behavioral, retro-commissioning, and operational and maintenance (O&M) measure savings.
- Proposals must aim to achieve a minimum of five percent (5%) Portfolio metered energy reduction for either electric or natural gas.
- Proposals must not include renewable technologies, fuel switching to a non-metered fuel, the addition of or intentional increase of a secondary heating system (non-gas/electric), or other activities that would distort⁹ metered energy consumption data.
- Clean energy solutions installed by Customers during this Pilot that are not part of the Portfolio Manager Customer offer will be treated as non-routine events (NREs). Portfolio Manager(s) shall not discourage adoption of these additional clean energy solutions (e.g. solar PV). Such actions shall not adversely affect Portfolio Manager payments – see the Measurement and Verification (M&V) Plan - Attachment F.
- Con Edison and NYSEERDA reserve the right to review the Customer Project Agreement(s). Any unfair, misleading, predatory practices relating to the terms of any financial benefits or incentives provided by the Portfolio Manager to Participating Customers are prohibited and may lead to cancellation of the Portfolio Manager's contract.

Contract Award

The total contract value awarded, referred to as the Bid, will be based on the Proposer's input into the Bid Package Workbook (Attachment A). The Bid Package Workbook requires the Portfolio Manager to input the parameters of the energy efficiency measures the Portfolio Manager anticipates offering Customers. From this information, a Levelized Cost/MMBtu is calculated by the Bid Package Workbook. A Levelized Cost ceiling of \$12/MMBtu has been established for delivering electric and gas savings for this RFP. Proposers should propose Bids that generate Levelized Cost values below this ceiling, as proposals with Levelized Cost/MMBtu exceeding this ceiling will be disqualified. Levelized Cost will form an important component of the competitive scoring criteria (see RFP Scoring Criteria section).

If selected, a Portfolio Manager's completed Bid Package Workbook (submitted alongside their proposal response) will form the basis of their contract and become an Attachment to their final Agreement with Con Edison.

Payment Calculation Methodology

Portfolio Manager(s) will be compensated by Con Edison on a normalized metered performance basis for energy savings delivered¹⁰. To encourage natural gas savings in Westchester during the peak period, a Gas Kicker will be paid for natural gas savings that occur during January and February at a rate of 2x the Payment/therm in Westchester.

The competitively selected Advanced Measurement & Verification (AMV) Solution Provider, Recurve Analytics, Inc., will develop a baseline for each project and conduct all energy data and related savings

⁹ "Distort" in this instance refers to actions outside of legitimate energy efficiency Interventions designed to reduce the metered energy sources being compensated through this pilot (electric and natural gas). For example, installing a measure that increases fuel oil consumption while decreasing natural gas consumption would be considered distortion, as A) fuel oil consumption will not be tracked as part of this pilot and B) this action is specifically designed to obfuscate the true savings obtained by the Intervention.

¹⁰ Both positive and negative energy savings from both electric and gas meters, as applicable, will be included in payment calculations.

analysis utilizing the CalTRACK methodology¹¹ through the AMV Platform. Portfolio Manager(s) will be able to monitor their Projects on the AMV Platform throughout the Pilot.

Payment Processes

The Payment/Energy Unit (kWh or therm) rates are generated by completing the Bid Package Workbook, therefore the Payment/Energy Unit will not be the same for each Portfolio Manager.

Portfolio Manager payments will be processed at the end of each quarter, with Projects being batched based on the quarter in which they were added to the Portfolio (Initial Intervention End Date). Each Project within the Portfolio will receive a total of three (3) Initial Payments and three (3) Annual Adjusted Payments. The Initial and Annual Adjusted Payments will be made on an annual basis. Therefore, depending on when Projects start their payment cycles, a Portfolio Manager may receive payments each quarter. See the Example Payment Schedule below.

The first payment is referred to as the Year 1 Initial Payment. The following calculation will be used:

$$\text{Year 1 Initial Payment} = 0.5 \times \text{Predicted Annual Savings}^{12} \times \text{Payment/Energy Unit}$$

After a Project has been installed for one year it will receive a Year 2 Initial Payment and an Annual Adjusted Payment, which will reflect the Year 1 metered savings, to be included in the Portfolio payment for that quarter. After a Project has been installed for two years, it will receive a Year 3 Initial Payment and another Annual Adjusted Payment to be included in the Portfolio payment for that quarter. At the end of the third year, a final Annual Adjusted Payment will be included in the Portfolio payment for that quarter. The following calculations will be used:

$$\text{Year 2 and Year 3 Initial Payments} = 0.5 \times \text{prior year Payable Energy Savings} \times \text{Payment/Energy Unit}$$

$$\text{Annual Adjusted Payment} = \text{annual Payable Energy Savings} \times \text{Payment/Energy Unit} - \text{previous Initial Payment} + \text{Gas Kicker}$$

Example Payment Schedule:

Initial Intervention End Date	Year 1				Year 2				Year 3				Year 4				Year 5			
	Q3 '20	Q4 '20	Q1 '21	Q2 '21	Q3 '21	Q4 '21	Q1 '22	Q2 '22	Q3 '22	Q4 '22	Q1 '23	Q2 '23	Q3 '23	Q4 '23	Q1 '24	Q2 '24	Q3 '24	Q4 '24	Q1 '25	Q2 '25
7/15/2020	IN				AA+IN				AA+IN				AA							
10/13/2020		IN				AA+IN				AA+IN				AA						
1/25/2021			IN				AA+IN				AA+IN				AA					
4/15/2021				IN				AA+IN				AA+IN				AA				
9/25/2021					IN				AA+IN				AA+IN				AA			
11/18/2021						IN				AA+IN				AA+IN				AA		
2/15/2022							IN				AA+IN				AA+IN				AA	
5/16/2022								IN				AA+IN				AA+IN				AA
	IN = Initial Project Payment included in the payment for that quarter																			
	AA = Annual Adjusted Project Payment included in the payment for that quarter																			

¹¹ <http://www.caltrack.org/>

¹² Value to be provided by Portfolio Manager(s) at the project level via their CRM or similar project tracking software. Year 1 Initial Payments will be capped at 12.5% of a project's annual baseline energy consumption. See Data Requirements section of this RFP for more details.

Payments will be calculated and processed as provided above throughout the Performance Period of the Portfolio Manager's entire Portfolio. Individual Projects will be included in the Portfolio for three years, after which the savings from that Project will no longer receive a performance payment. Payment issuance will be performed by Con Edison contingent upon NYSERDA's approval of the Payment Recommendation from the AMV Platform. Portfolio Manager(s) will be responsible for submitting an invoice using the Payment Recommendation generated by the AMV Solution Provider. To ensure the timely and accurate processing of payments, the AMV Platform will be used as the system of record from which all invoices are based. All parties will have access to Portfolio performance data via the AMV Platform throughout the Pilot. If a Portfolio Manager believes they have detected an issue with the savings calculations, they should send written notice to NYSERDA and Con Edison prior to the end of the performance quarter in which the issue is believed to have occurred. While Portfolio Manager(s) will not have the ability to unilaterally alter or delay performance payments, NYSERDA and the AMV Solution Provider will work with Portfolio Manager(s) in good faith to resolve or otherwise close all suspected issues that are reported.

Contract Management and Performance Terms

All payments are performance-based, and Portfolio Manager(s) are not entitled to receive their entire contract value if savings are not delivered. Adjustments to the contract amount or Payment/Energy Unit rates may occur if Portfolio Manager(s) do not deliver Projects in line with their proposals. These adjustments can be found below and will be included in the contract (see Attachment H – Sample Agreement). These terms are in place to prevent gaming, as well as to reward over-performance.

On an annual basis, beginning one year after the contract start date, the actual Portfolio will be compared to the Agreement and contract modifications may be made, if deemed necessary, based on the following:

- A. If 12 months after the contract starts, the volume of Projects in the Portfolio is less than twenty-five percent (25%) of the proposed volume of Projects to be completed during the Implementation Period, then the contract may be cancelled.
- B. The Contract amount will be increased if the energy savings achieved are greater than the Agreement.
- C. Inflated or unrealistic EUL values will not be permitted. Therefore, if the Portfolio weighted average EUL (based on data submitted by the Portfolio Manager) changes more than ten percent (10%) from the Bid submission, the contract amount and Payment/Energy Unit rates will be adjusted to reflect the actual weighted average EUL of the measures installed¹³.

The following may affect performance payments:

- A. Application of Non-Routine Adjustments. The process for this is outlined in the M&V Plan - Attachment F.
- B. Achieving greater or fewer electric or gas savings than proposed.

Customer Authorization

Portfolio Manager(s) must have Participating Customers provide authorization through Green Button Connect/Share My Data, as outlined in Attachment G – Green Button Connect Process, for the AMV Platform to access to their utility consumption data throughout the Performance Period. Portfolio Manager(s) must also have Customers complete Attachment J – Customer Consent Form by using an e-

¹³ Reference Attachment H – Sample Agreement page 3 on calculations for respective contract amount adjustments

signature service. This will require Portfolio Manager(s) to ensure that sales personnel and/or contractors have access to mobile electronic devices and internet connection in the field. Information must be completed correctly to successfully add a Project to a Portfolio and ensure approval to share data has been provided.

Awareness Campaign and Marketing

Portfolio Manager(s) will have ultimate responsibility for marketing and selling their services to Customers. In addition to providing Customer eligibility lists, to minimize Customer acquisition costs, Con Edison and NYSERDA will host on their respective websites detailed information about the P4P Pilot and the selected Portfolios Manager(s). The websites will provide Customers and other interested stakeholders with information regarding eligibility and how to contact a Portfolio Manager regarding services, as well as additional marketing support to Portfolio Manager(s) (as described below).

Con Edison will launch a multi-stage email campaign to eligible Con Edison Customers to make them aware of the Business Energy Pro P4P initiative. The first email, to be sent prior to program launch, will build awareness by providing a Pilot overview. Subsequent emails will include details regarding the Portfolio Manager(s)' offerings, contact information, timing, and what to expect. NYSERDA will also launch a small business education campaign targeting Customers in Staten Island and Westchester to create awareness of energy efficiency and clean energy solutions and how they can benefit their businesses.

Once selected and as needed, Portfolio Manager(s) can leverage NYSERDA and Con Edison's Business Energy Pro campaign messaging and materials to reinforce the credibility of their own targeted marketing messages. Awarded Portfolio Manager(s) can work with NYSERDA and Con Edison to develop co-branded marketing materials, such as brochures, direct mailers, presentations, websites, etc. using approved logo and affiliation language. All marketing materials using Con Edison's logo and/or Business Energy Pro affiliation language must be approved by Con Edison prior to public release. Please review Attachment H – Sample Agreement for additional language specific to marketing policies and requirements.

In addition, to further assist Portfolio Manager(s) in targeting their marketing effort to the best prospects, Con Edison will provide supporting data analysis of each eligible Customer's baseline energy consumption as outlined earlier in this RFP.

Roles and Responsibilities

NYSERDA

As Pilot Administrator, NYSERDA's responsibilities are to:

1. Manage the AMV Solution Provider.
2. Fund Portfolio Manager(s) performance payments (distributed by Con Edison).
3. Document P4P Pilot processes and maintain NYSERDA's Business Energy Pro website.
4. Conduct Pilot evaluation with support from Evaluation Contractor.
5. Implement M&V Plan (Attachment F) and manage Non-Routine Adjustments (NRAs), along with payment impacts, with Con Edison's input.

Con Edison

As the Utility Administrator, Con Edison's responsibilities are to:

1. Screen and create Customer eligibility lists.
2. Manage performance and contractual relationship with Portfolio Manager(s).
3. Distribute Portfolio Manager(s) performance payments.
4. Develop email campaigns and maintain Con Edison's Business Energy Pro website.
5. Provide resources and co-branded marketing materials to Portfolio Manager(s).

Portfolio Manager

The awarded Portfolio Manager(s)' responsibilities are to:

1. Select and partner with Contractor(s), if necessary, for services which may include Project installations, marketing, and/or customer acquisition.
2. Market and sell energy efficiency upgrades and services to eligible Customers leveraging co-branded marketing provided by NYSERDA and Con Edison as needed.
3. Provide monthly reports on customer acquisition activities, including site visits, project interventions recommendations, customer offerings and agreements, in a mutually agreed upon format.
4. Follow processes for obtaining approval from Customers to grant access to all authorized representatives for utility consumption data.
5. Identify and acquire financing, as needed, to secure Customer participation, implement energy efficiency measures and manage operational cash flows.
6. Implement energy efficiency Interventions and make efforts to ensure Interventions meet or exceed energy savings targets submitted and approved during the Bid process.
7. Complete Con Edison's Vendor Risk Assessment checklist, and comply with Data Security Agreement (DSA) and Self Attestation (Attachment I) requirements.
8. Perform quality assurance and quality control inspections (QA/QC) to ensure quality of work completed, verify that measures have been installed in accordance with building codes, local permit and licensing requirements, and that it follows Pilot protocols.
9. Assist with user acceptance testing for the AMV platform prior to commencement of the Implementation Period.
10. Obtain Payment Recommendation generated by the AMV Solution Provider and submit to Con Edison for invoice review and approval as outlined in Attachment H – Sample Agreement.

Measurement and Verification (M&V) and Data Requirements

Non-Routine Events

Non-Routine Events (NREs) may impact calculated energy savings for some Participating Customers and therefore a Portfolio Manager's performance payments. NREs are changes in building energy use that are not attributable to an Intervention at a Project site. For detailed information on how NREs will be identified, tracked and payment adjustments calculated, please see Attachment F- M&V Plan.

Clean energy solutions installed by Customers during this Pilot that are not part of the Portfolio Manager package will be treated as NREs. Portfolio Manager(s) shall not discourage adoption of these additional clean energy solutions (e.g. solar PV). Such actions will not adversely affect Portfolio Manager payments – see Attachment F- M&V Plan.

AMV Platform

The AMV Platform is a multi-node, decentralized architecture that stores Project and utility data and produces energy savings calculations. It is hosted on Amazon Web Services (AWS) and has robust data connectivity features, as well as an Application Programmable Interface (API) that can be called directly by external data platforms. The AMV Platform can pull data from source systems over a conventional flat-file (Secure File Transfer Protocol) connection but is also fully capable of utilizing service-based interfaces in both synchronous and asynchronous modes. It will serve as the system of record for all Projects and their associated utility data received via data interfaces, and data reconciliations with individual Portfolio Manager(s).

Data Requirements

Customer Information and Project data must be accurately collected and maintained by the Portfolio Manager within their own data platform. This data platform will then connect to the AMV Platform via flat-file or service-based transmission. The Pilot does not stipulate what type of data platform a Portfolio Manager(s) should have, however, a relational database behind a Customer Relationship Management (CRM) -or other proprietary- system, or structured-data container such as a spreadsheet or comma-delimited file is considered beneficial. Any awarded Portfolio Manager's database or CRM system will be expected to support specific fields and naming conventions. Portfolio Manager(s) will be required to support the following fields:

Participating Customer Information:

- Business Name
- Con Edison Account Number
- Site Address (including Address, City/Town, State, and Zip Code)
- Primary Contact Name
- Primary Contact Title
- Phone
- Email
- E-Signature for utility consumption data authorization

Project Data:

- Contractor Name (if applicable)
- Project Type: Electric, Gas, Combination
- Primary Heating Source
- Initial Intervention Start Date
- Initial Intervention End Date
- Total Project Cost
- Total Cost Paid by Customer
- Measures Installed
- Electric and Natural Gas Predicted Savings (in kWh and therms respectively)

To include a new Project in their Portfolio, Portfolio Manager(s) will need to obtain Green Button Connect authorization for the AMV Solution Provider, Customer authorization (Attachment J) for utility consumption data sharing and upload Project data to the AMV Platform.

Quality Assurance and Quality Control (QA/QC)

Portfolio Manager(s) must establish a Quality Management Plan, set of proactive processes to verify the quality and accuracy of the projects before, during, and after Intervention, to monitor and attest to project implementations. Contractor(s) must comply with QA/QC plans to protect the Customer's health, safety, and privacy while completing Projects. Portfolio Manager(s) will be responsible for resolving health and safety issues discovered during inspections related to Interventions completed as part of their Portfolio.

Portfolio Manager(s) should perform random inspections of the Projects in their Portfolio post-Intervention in order to monitor Project quality and savings. The minimum number of inspections is dependent on the number of proposed/completed Projects in a Portfolio Manager's Portfolio to achieve a statistically significant sample. The required minimum sample size will be calculated as follows:

$$sample\ size = \frac{68.0625}{1 + \left(\frac{.680625}{.01N}\right)^{14}}$$

Where N = Population Size, or the number of Projects to be completed in the Portfolio

NYSERDA and Con Edison reserve the right to review documentation supporting Portfolio Manager(s) completion of these efforts. In addition, NYSERDA and Con Edison reserve the right to designate a third-party contractor to shadow Portfolio Manager(s) during QA/QC inspections, or to schedule their own inspections, to verify that the installed measures a Portfolio Manager reports have been installed. The third-party contractor may also review the sampling plans of Portfolio Manager(s), as requested by Con Edison.

Pilot Evaluation

Con Edison and NYSERDA will conduct evaluations and interview or survey a sample of Participating Customers. Customers may be randomly selected to voluntarily provide additional information regarding their participation in the Pilot. Interview or survey questions may cover topics such as, but are not limited to:

- Customer satisfaction with process, Portfolio Manager offering, and Intervention(s)
- Customer motivations for obtaining the Intervention(s), perception of non-energy benefits, sharing of Business Energy Pro Pilot experience with friends and neighbors, etc.
- NRE occurrence (e.g. increased or decreased occupancy, addition/removal of energy using equipment, etc.) during the Performance Period that might have affected energy use

Portfolio Manager(s) must also participate in evaluation activities, which may include collecting information on:

- Business model approach
 - Barriers to success
 - Sales metrics (e.g., number of Customers contacted, etc.)
 - Known NREs that have occurred at Participating Customer locations
-

- Potential improvements to the Pilot design, especially as related to scaling the Pilot, increasing above-code equipment replacement, and accelerating equipment turnover
- Confidence levels in and satisfaction with the available performance data produced by the AMV Platform

Proposal Package

Entire Proposal Package not to exceed 5MB

Cover Letter

Maximum one (1) page

The cover letter must include the following:

- The legal Company name and address of proposer
- The name, title, and telephone number of the individual authorized to negotiate and execute the Agreement
- A signature of a person authorized to contractually bind the proposer's organization
- A statement that the proposer has read, understands, and agrees to all provisions of the RFP

Table of Contents

Include a table by section and by page number.

Section 1 – Executive Summary

Maximum two (2) pages

Proposers must provide a brief overview of:

- Their business model and proposed customer offering
- Their specified % energy saving target and how they expect to achieve it
- Customers they plan to engage
- Partners, key qualifications and other characteristics that will be employed to support delivery of proposed energy savings

Section 2 – General Information

Maximum one (1) page not including attachments

Proposers must include the following information in their response:

- Company name
- Designated primary point of contact
- Year established
- Data Universal Numbering (DUN) System number issued by Dun and Bradstreet Information Services
- Ownership type
- Licenses and certifications consistent with proposed work scope (*please provide copy*)
- Liability insurance information (*please provide copy*)
- Disclosures of any outstanding legal, financial (prior debt, bankruptcy or payment delinquency) or other issue (*please provide notice(s) if applicable*)

Section 3 – Approach and Implementation

Maximum eight (8) pages

3a. Customer Value

Proposers should provide the following items in this section:

- **Energy savings:** Summarize the expected Portfolio % energy savings, as calculated from the Bid Package Workbook, (Attachment A), and how the approach will lead to persistence of savings. Describe how your approach will maximize opportunities for Participating Customers.
- **Customer value** (including financing): Describe your proposed energy efficiency offering and approximate cost to Customers, including any shared savings arrangements with the Customer. Discuss how your proposed approach offers a strong value proposition to targeted Customers (combination of financial savings, risk management, non-energy benefits etc.). Describe any financing solutions you may offer to enhance Customer value.
- **Innovation:** Call out any innovative features in your proposed approach, such as outreach strategies, lead generation process, new technologies in offerings, financing solutions, marketing approach etc.

3b. Go to Market Strategy

- **Customer mix:** Describe the types of Customers (sector, size, etc.) you will target and explain why these Customers are good candidates for your approach. Provide information on your existing Customer networks and relationships.
- **Marketing and outreach:** Outline your marketing plan, including communication channels, primary messaging, key milestones, and Customer engagement goals for each milestone.
- **Work plan and schedule:** Provide a work plan that demonstrates your ability to address and effectively deliver energy savings during the Implementation Period and Performance Period, as well as an itemized timeline for setup and launch.

3c. Market Opportunities and Challenges

- **Scalability:** Summarize market trends and conditions that support or impede your proposed approach, including any trends or conditions that are unique to the targeted service territory. Describe how your approach could be transferrable to other parts of New York State.
- **Challenges:** Discuss potential threats to success and planned mitigation strategies.
- **NREs (Optional):** Include a draft list of Non-Routine Events your organization would like to be able to report during the Performance Period and what documentation is proposed to demonstrate that claimed NREs occurred (see Table 3. Reportable NREs and Acceptable Forms of Verification in Attachment F – M&V Plan for a template and additional information). This information is not required and will not impact the scoring of submissions, but it may speed up the negotiation process between selected Portfolio Manager(s) and Con Edison.

Section 4 – Experience and Capabilities

4a. Qualifications and Experience

Maximum eight (8) pages

Proposers should provide the following items in this section:

- **Technical background:** Organizational experience including at least two (2) examples that address the proposer's experience and performance in providing products and services

comparable to the proposer's planned approach. Proposers should highlight experience serving commercial businesses, emphasizing previous results and the ability to quickly mobilize. Proposers should provide details regarding the type and quantity of measures installed, contractors and/or distributors participating, energy savings realized over a given time period, as well as a description of challenges faced and an explanation of how they were overcome for each example.

- **Market knowledge:** Information on customers that your firm has historically targeted and served, as well as specific experience in customer engagement, program or project management, and the types of energy efficiency measures typically installed by your firm that is relevant to this proposal but not covered in the examples provided.

4b. Project Personnel Staffing Plan

Maximum four (4) pages excluding resume attachments

Proposers must demonstrate they have secured a commitment from all essential team members and partners and can provide a dedicated resource with a range of experience sufficient to lead and achieve the proposer's scope of work. Specifically, responses must include:

- **Corporate qualifications and key personnel:** Provide a description of the experience, qualifications (skills, abilities, and certifications), and proposed responsibilities of key team members responsible for delivering the Portfolio. Provide a table showing expected percentage full-time equivalent (% FTE) commitments for key personnel and labor categories. Resumes should be provided for each proposed key staff member and submitted as an appendix.
- **Contractor(s) and/or partners:** Summarize corporate qualifications for any teaming partners included in proposal. Describe proposed responsibilities of key Contractor personnel.
- **Organizational chart:** Clearly delineate organizational roles, lines of authority, and current resources, inclusive of any contracted entities if applicable, to be updated as necessary to denote staffing changes.
- **Primary contact:** Identify who will be responsible for communications with Con Edison and NYSERDA and their abilities.
- **QA/QC capabilities:** Provide information on staff responsible for overseeing internal QA/QC processes and their experience supporting compliance requirements for other commercial projects in the state of New York. Specifics should be provided regarding current and planned QA/QC activities, include how the proposer anticipates maintaining project quality through standardized processes and inspections.
- **Marketing and sales capabilities:** Provide experience and qualifications of staff responsible for overseeing marketing and sales activities.
- **Hiring plan:** Summarize any plans to hire additional staff, in any capacity, to support the work.

4c. Financial Capacity

Maximum two (2) pages excluding financial attachments

Proposers must provide information on their existing infrastructure and organizational approach to project performance and cashflow management. Proposers should describe their operational management, including but not limited to: system monitoring & performance, customer relationship, billing & receivables, and maintenance of systems. Specifically, proposers must demonstrate the ability or proposed plan to finance multi-year cash flows and manage performance at a portfolio level. Proposers should provide:

- Credit rating, Dunn and Bradstreet score and report, or equivalent

- Either three (3) years of audited financial statements or three (3) years of reviewed, unaudited financial statements if audited statements are unavailable
- Information on how the existing business is capitalized (including a capitalization table) and future structure to support P4P cash flows, as well as any current capital raising activities
- An insurance policy or indicative term sheet, if third-party portfolio insurance has been obtained

In addition, if a Portfolio Manager is planning to obtain financing, then one of the following documents shall be provided (in order of preference):

- Fully executed financing agreement
- Draft financing agreement
- Term sheet
- Letter of interest from prospective capital provider

Letter of interest must signal that the capital provider is aware of the P4P payment terms in the RFP and will consider financing the proposer's Portfolio. The letter should outline activities that need to occur prior to a fully executed financing agreement. If possible, the letter should include an anticipated timeframe for the completion of these activities.

4d. References

Maximum one (1) page

Proposers must provide a list of five (5) clients for reference, including contact details (email and telephone).

Section 5 – Bid Package Workbook

Maximum four (4) pages excluding workbook

Proposers must complete the Bid Package Workbook (Attachment A). Proposers will be scored on the Levelized Cost calculated by the Bid Package Workbook. Bids with Levelized Costs greater than \$12/MMBtu will be disqualified.

Proposers shall input:

1. Their Bid (total contract value requested) – this amount should not include funds for the Gas Kicker (that amount will be calculated separately and added to the contract value during contracting)
2. The unit energy savings (UES) in kWh and therms per installed measure¹⁵
3. The expected volume of each measure to be installed during the Implementation Period
4. The Effective Useful life (EUL) of each installed measure

Proposers should attempt to adhere to the Fractional Savings Uncertainty (FSU) guidance below regarding the minimum number of projects to be completed based on the anticipated savings depth:

¹⁵ UES = annual predicted savings

	Average Savings Depth per Project					
	30%	25%	20%	15%	10%	5%
Minimum Number of Electric Projects	10	15	25	50	115	450
Minimum Number of Natural Gas Projects	40	60	100	200	500	2000

Separately, proposers should provide:

- **Input Justification:** Demonstrate that unit energy savings estimates and EUL are prudent and consistent with industry best practices; document input assumptions with robust and reliable sources¹⁶

RFP Scoring Criteria

Scoring

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the following categories. The total eligible points are 100.

- Cost/Bid Package – total points achievable = 50
- Approach and Implementation – total points achievable = 30
- Experience and Capabilities – total points achievable = 20

NOTE: A minimum of 35 points is needed from categories B&C for the proposal to be considered for award, regardless of the Levelized Cost supplied in category A.

NOTE: Bid packages that come in over the Levelized Cost ceiling will not be considered for award.

Ranking and Selection

All eligible proposals will be ranked by total points earned across all categories. The final award group may include multiple Portfolio Managers depending on geographic focus, service model differentiation, and competitive considerations. As such, ConEdison and NYSERDA may also consider the following program policy factors in making final awards:

The degree to which there is diversity in:

- business models
- targeted sub-sectors
- technologies
- customer offers

Cost/Bid Package - Category A

A total of 50 points is achievable as outlined below.

This RFP employs a Levelized Cost ceiling of \$12/MMBtu. Bids above this amount will not be considered for award. For all others, a maximum of 50 points can be awarded. The lowest Levelized Cost Bid will be awarded 50 points, and the following method will be used for awarding points to all other proposals.

¹⁶ Acceptable documentation includes the New York State Technical Resource Manual, historical project data, and industry white papers. For EUL values, proposers shall use the New York State Technical Resource Manual where applicable: [http://www3.dps.ny.gov/W/PSCWeb.nsf/96f0fec0b45a3c6485257688006a701a/72c23decff52920a85257f1100671bdd/\\$FILE/TRM%20Version%206%20-%20January%202019.pdf](http://www3.dps.ny.gov/W/PSCWeb.nsf/96f0fec0b45a3c6485257688006a701a/72c23decff52920a85257f1100671bdd/$FILE/TRM%20Version%206%20-%20January%202019.pdf)

Points will be allocated as follows: $MAX * (CEILING - BID) / (CEILING - LOW)$

Where MAX = 50 points, CEILING = \$12/MMBtu, BID = Levelized Cost (from proposer's Bid Package Workbook), LOW = lowest Levelized Cost of qualified Bids.

Approach and Implementation - Category B

A total of 30 points is achievable for this category. Scoring criteria for this category shall focus on proposer's ability to clearly:

- Demonstrate the importance and understanding of providing a solution that focuses on **Customer value**.
 - Proposed offering incorporates a compelling set of value propositions for the Customer.
 - Proposed financing model (if applicable) enhances Customer value propositions and supports low-cost/no-cost solutions.
 - Proposed offering incorporates a diverse measure mix with persistent savings to maximize opportunities for Participating Customers.
 - Proposer's planned scope of work clearly demonstrates an innovative approach to delivering energy savings in the small and medium-sized business commercial market and reflects the unique characteristics of Westchester and Staten Island.
 - Approach lends itself to multi-year Participating Customer engagement and comprehensive services.
 - Proposal provides sufficient information on how Customers will be enrolled during the first six to twelve months and sets realistic goals and milestones over the two-year Implementation Period to ensure the target number of Participating Customers is met.
 - Proposal demonstrates a strong likelihood of successful customer acquisition.
- Demonstrate an understanding of **opportunities and challenges** in serving the target market and executing the proposed approach.
 - Proposed approach aggressively targets natural gas savings in Westchester (if proposing to serve that market).
 - Proposed approach aligns with known market conditions and trends.
 - Proposed approach is transferrable to markets throughout New York State.
 - Proposer addresses potential market threats and risk factors and offers realistic solutions for mitigating them.
 - Proposed approach can obtain energy efficiency savings with a reasonable level of confidence associated with those savings based on the FSU guidance provided (table on page 21).

Experience and Capabilities - Category C

A total of 20 points is achievable for this category. Scoring criteria for this category shall focus on proposer's ability to clearly:

- Demonstrate that the team, including subcontractors, and individual personnel have the **qualifications and experience** to deliver proposed approach.
 - Supporting documentation provides information to (1) support proposed energy savings, EUL, and volume estimates and (2) demonstrates confidence that the % energy savings can exceed five percent (5%).
 - Proposed approach builds on field-tested results and proposer provides adequate information regarding type of work and previous project results, including energy savings realized.

- Proposer provides examples of previous implementation activities and/or marketing and outreach efforts to demonstrate the ability to develop a sales pipeline and achieve desired outcomes.
- Provided references validate the quality of work performed by the proposer.
- Demonstrate appropriate **resources** in place.
 - Proposer has secured commitments from all essential team members and partners.
 - Proposer demonstrates that the proposed team, including Contractors, and individual personnel have the experience and ability to deliver the proposed approach; hiring plan (if applicable) shows realistic pathway to filling gaps and scaling operations.
 - Organizational, communication, and decision-making structures align with proposed approach.
 - Proposer has skills and resources to deliver quality work and protect Participating Customers through QA/QC processes.
- Demonstrate the **financial capacity** to execute on the proposed business model.
 - Demonstrates competency in operational management, including but not limited to: system monitoring and performance, customer relationship, billing and receivables, and maintenance of systems. Clearly identifies source of capital (self, loan, equity) and what financing agreement and/or performance insurance will be sought or has already been obtained. Provides supporting and verifiable documentation.

Proposal Instructions

General Guidelines

Completeness – It is solely the responsibility of any proposer to ensure that all pertinent and required information is included in its submission. Failure to adhere to the described format and to include required and accurate information could result in disqualification of RFP responses. Con Edison and NYSEERDA reserve the right to determine whether a submission is incomplete or non-responsive.

Contract Award – A contract may be awarded based on the proposal submitted without discussion or following limited discussion or negotiations. This contract will be subject to Con Edison’s [Professional Services Terms & Conditions](#). Con Edison, in collaboration with NYSEERDA, may extend and/or add funds to any contract awarded through this solicitation. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. Con Edison may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active Con Edison or NYSEERDA agreement.

Limitation – This solicitation does not commit Con Edison to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. Con Edison and NYSEERDA reserve 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 their best interest. Con Edison reserves the right to reject proposals based on the nature and number of any exceptions taken to the [Professional Services Terms & Conditions](#) and/or Attachment H - Sample Agreement. Con Edison 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 (5) years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the

organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of Con Edison after the award of a contract, Con Edison 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.

Other Guidelines - Contact by proposer firms regarding this RFP with any Con Edison or NYSEDA employee, Contractor, or consultant, prior to finalization of a contract is prohibited and may constitute grounds for disqualification. No communication intended to influence this process is permitted except for general inquiries submitted to bepconed@nyserda.ny.gov. Proposer firms will have adequate opportunity to obtain any reasonably necessary information.

Con Edison and NYSEDA reserve the right to make changes to this RFP by issuance of one or more addenda or amendments and to distribute additional clarifying or supporting information relating thereto. This RFP may be cancelled or delayed at any time at the sole discretion of Con Edison and NYSEDA. This RFP does not constitute an order or any obligation on the part of Con Edison and NYSEDA.

It is the sole responsibility of the proposer to read and understand all the terms and conditions, components, appendices, and other requirements of this RFP. Failure to comply with the bidding instructions may disqualify a proposer from further consideration.

If a proposer makes assumptions about the meaning or accuracy of information contained herein, the proposer shall state the assumptions in its submission. If the proposer does not ask questions or clarify any assumptions, Con Edison and NYSEDA will assume that the proposer agrees with and understands the requirements in this RFP. It shall be the proposer's responsibility to advise Con Edison and NYSEDA before the proposal response deadline of conflicting requirements or omissions.

An award may be made only upon the execution of a contract between Con Edison and the selected proposer. Proposers must comply with all Con Edison contract requirements. Requirements can be found in Attachment H - Sample Agreement and on the [Company's Oracle EBS site](#).

Proprietary Information - Consideration should be given before confidential information is submitted to NYSEDA as part of any Proposal. Proposers should consider and review whether information is critical for evaluation, and whether general, non-confidential information may be adequate for review and evaluation purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSEDA possesses. The Public Officers Law includes exceptions to disclosure, including Section 87(2)(d) which provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Additional information submitted to 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, NYSERDA cannot guarantee the confidentiality of any information submitted. NYSERDA reserves the right to make public, after the fifth anniversary of the award date, the Agreement executed with any awarded Proposal.

Intent to Propose

Proposers must complete and electronically submit Attachment B - Intent to Propose to bepconed@nyserda.ny.gov with the email header "Business Energy Pro Portfolio Manager RFP: Intent to Propose - Company Name" by August 19, 2019 at 5pm EDT to submit a response to this solicitation.

Proposers who have participated in a Con Edison RFP and are therefore registered in the Oracle RFP System will receive an invitation to submit their proposal after they submit their Intent to Propose via email. Proposers who have never participated in a Con Edison RFP and are therefore not registered in the Oracle RFP System, must complete the following steps below to become registered. Following your complete submission of these documents listed below, you will receive confirmation of Oracle RFP System enablement and an invitation to submit your proposal.

1. Complete the following and submit to Michael Heaton at heatonm@coned.com:
 - a. Complete a W-9 form (version last updated October 2018)
 - b. Populate Attachment C - Vendor Qualification Application and select CE Sourcing under Oracle responsibility field

Clarification Questions and Answers

Proposers may submit clarifying questions to bepconed@nyserda.ny.gov by August 19, 2019 at 5pm EDT. NYSERDA and Con Edison will anonymize the questions and provide responses by August 29, 2019 to all proposers that submitted an intent to propose.

All questions deemed essential for the viable submission of a Bid response along with responses will be provided during a webinar on August 29, 2019 and posted at: www.nyserda.ny.gov/bep. Webinar details can be found on the website.

Proposal Submission

Proposers must submit their proposal through the Con Edison Oracle RFP System prior to November 25, 2019 at 11:59pm EDT. Proposers who fail to submit by the due date and time will be locked out of the Oracle RFP System. Therefore, proposers are encouraged to follow the instructions below to register in the Oracle RFP system following submission of an Intent to Propose. Proposers should upload proposal packages well in advance of the closing time to avoid any potential issues that may occur, including any unfamiliarity with the Oracle RFP System. NYSERDA and Con Edison are not responsible for late submissions.

Information that the proposer wishes to have treated as proprietary or confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure.

Note: The Oracle RFP System is only capable of accepting individual documents no larger than 5MB in size. Proposers may find it necessary to split up large documents into smaller files due to this system constraint.

Attachments

Bid Package Documents

- A. Bid Package Workbook (to be completed and submitted with proposal)
- B. Intent to Propose (to be submitted via email to bepconed@nyserda.ny.gov)
- C. Vendor Qualification Application (Supplier Enablement Template – Pre-Oracle Registration)

Reference Documents

- D. Glossary (Definitions of Terms)
- ~~E. Fractional Savings Uncertainty and Portfolio Sizing~~
- F. Measurement and Verification Plan (NREs, NRAs and payment impacts)
- G. Green Button Connect Process
- H. Sample Agreement
- I. [Data Security Agreement \(DSA\) and Self Attestation](#)
- J. Customer Consent Form